

DDA Registry

File Meetings

DDA 76-1047

4 March 1976

MEMORANDUM FOR: Director of Training

ATTENTION : Chief, Plans & Resources Staff, OTR

25X1

FROM : [ ] Executive Officer, DDA

SUBJECT : DDA Management Conference

1. This confirms 2-4 April 1976 as the dates of the DDA Management Conference and provides information on arrangements to be made by OTR. In general, we will adhere to the same type of schedule as we did last year. There will be 15 attendees.

a. Ground transportation should be provided for participants to and from the Headquarters Building

[ ]

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d. Accommodations: The Deputy Director for Administration, Associate Deputy Director for Administration and the eight Office Directors at [ ]

25X1

[ ]

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[ ]

e. Expenses: [ ] special charges will be apportioned equitably by the 15 participants. Please forward the bill to the undersigned.

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State Dept. review completed

- 2 -

2. Everything went extremely well [ ] during the last conference. Experience shows that there is an interest in leaving [ ] as soon as possible Sunday afternoon and it possibly is wise to have transportation available at National Airport one-half hour prior to the scheduled return of the aircraft.

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Distribution:

Orig & 1 - Adse.

① - DDA Subject

1 - DDA Chrono

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EO-DDA [ ] nh (4 March 1976)



AGENDA  
DD/A Management Conference  
April 1976

April 2

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5:00 - 6:00	Social Hour at	
6:00	Dinner at Club	
8:00 - 9:00	Purpose of Conference and Expected Results - Mr. Blake	

April 3

7:00 - 9:00	Breakfast	
9:00 - 9:30	Discussion of Adherence to DDA Personnel Management Handbook -	
		25X1
9:30 - 11:00	Discussion of Office Ranking Mechanism (10 Minutes to each Office Director) Mr. McMahon	
	A. Lowest percentile - how many?	
	B. Are they notified - by whom?	
11:00 - 11:10	Break	
11:10 - 11:30	Discuss Policy: "If in lowest group three years, one is terminated" - Mr. Blake	
11:30 - 12:00	Commentary on DDA Personnel Panel (Must have or develop system to coordinate summer replacement rotation schedule for all DDA'ers with possible exception of Commo) -	
12:00 - 1:30	Lunch	25X1

April 3 (Cont'd)	1:30 - 2:20	EEO - Develop comparative charts Office by Office showing statistics 18 months ago vs. today (Some new policies, class action suits, grievance procedures, etc.) - <div data-bbox="885 468 1143 512" style="border: 1px solid black; width: 159px; height: 21px; display: inline-block;"></div> 25X1
	2:20 - 2:30	Break
	2:30 - 3:30	MBO (Discuss objective and qualitative performance factors - 5 minutes to each Office Director to state what specifically identified so far) - <div data-bbox="885 730 1120 766" style="border: 1px solid black; width: 145px; height: 17px; display: inline-block;"></div> 25X1
	3:30 - 4:30	Shotgun Topics - Mr. Blake  A. Family Day - yes or no? B. State of the Directorate Address C. Value of LOI's D. DDA Reporting Requirements - any unnecessary E. Directorate Clerical Management Program F. Staff work re regulations
	4:30 - 6:00	Free time
	6:00 - 7:30	Dinner
	7:30 - 8:30	Terrorism: OTR/Security current status and where we are going - <div data-bbox="1365 1310 1624 1341" style="border: 1px solid black; width: 159px; height: 15px; display: inline-block;"></div> 25X1
April 4	7:00 - 9:00	Breakfast
	9:00 - 10:50	Open
	10:50 - 11:00	Break
	11:00 - 11:30	Windup - Mr. Blake 25X1
		<div data-bbox="418 1671 1305 1866" style="border: 1px solid black; width: 546px; height: 93px; display: inline-block;"></div>

PERSONNEL

23 March 1976

OFFICE OF MEDICAL SERVICES

RANKING MECHANISM

1. Medical Career Sub-Group
2. Ranking Responsibility
  - a. Panel A
    - (1) Physicians
    - (2) Nurses
  - b. Panel B
    - Psychologists
  - c. Panel C
    - Medical Technicians/Medical Service Officers GS-11 and below
  - d. Panel D
    - Clerical
  - e. Ad Hoc Panels
    - (1) Admin Officers
    - (2) Analysts
    - (3) All Others
3. Lowest Percentile
4. Notification of Ranking

22 MAR 1976

OFFICE OF PERSONNEL RANKING MECHANISM

A. Board and Panel. In the Office of Personnel we have a Career Board and three Career Panels.

1. The Career Board is responsible for the evaluation of all GS-13's and above; recommending promotions, reassignments and major training; reviewing and recommending action on all QSI recommendations; recommending the selection of internal/external applicants for MP Career Sub-Group; advising and guiding the head of the Career Sub-Group on a variety of Personnel matters.

2. Career Panel II is responsible for all GS-10, 11 and 12 careerists.

3. Career Panel I is responsible for the competitive evaluation of all GS-7's, 8's and 9's, and the Clerical Panel is responsible for the evaluation and ranking of all clerical and secretarial employees.

4. The Career Panels meet twice a year for competitively evaluating, ranking, identifying careerists in comparative evaluation groupings. Panel members are furnished with updated biographic profiles and the most current fitness reports for use in the evaluation process. Official Personnel Files and soft files of the Career Management staff are also available to panel members for review.

Prior to the evaluation exercise, panel members generally meet with the current supervisor of each careerist to be ranked to obtain current information concerning performance, and to obtain the



supervisor's comments as to the individual's potential and possible training courses the individual should complete. Panel members then meet to review all comments received from supervisors.

Upon completion of this meeting, each panel member individually competitively evaluates each careerist for which the panel is responsible, utilizing the criteria as defined in OPN 20-74-9, or OPN 20-3-21.

The panel members then submit evaluations to the Career Management Officer who develops a variety of statistics and listings on the basis of each individual's evaluation. The members then have an opportunity to again review the tentative ranking of the employee, discuss questions concerning the ranking of employees and make any adjustments that appear necessary.

After general agreement is reached as to the numerical ranking of careerists, panel members then identify the comparative evaluation grouping each careerist is to be assigned; e.g., highest potential, may develop high potential, valuable contribution, limited potential, substandard.

Having completed the competitive evaluation, the panel members then identify those individuals to be recommended for promotion. The recommendation is submitted to the head of the Career Sub-Group by the panel chairman for approval.

5. The Career Board generally follows the same procedures as the panels, the only difference being that board members do not contact the current supervisor of the careerist unless there are some specific questions that need answering. However, the board members, at the first meeting, have a round-table discussion about

each careerist to be competitively evaluated in order to ensure that all board members are currently aware of any changes in the performance of individuals to be evaluated.

Upon approval of the competitive evaluation listings by the head of the Career Sub-Group, an appropriate ceremony is conducted for the awarding of promotion actions.

6. The OP Clerical Panel has recently been established. In general, the procedures will be similar to those of the other panels. At the present time, panel members are interviewing all careerists falling under the responsibility of the panel to obtain information concerning the careerist's interests, background, etc.

Upon completion of these interviews, discussions will be held so that all panel members are made aware of the information obtained. The panel will competitively evaluate careerists twice a year.

7. The Office endeavors to keep its careerists informed of the methods and procedures used in competitively evaluating, promoting, training and assigning. This is accomplished to some degree through individual counseling by the Career Management Officer and members of the Career Board and Panels, but more specifically through annual meetings between the panel members and all the careerists for which they are responsible.

At these meetings, any changes in the methods and procedures for evaluating careerists are explained and the panel members have an opportunity to ask specific questions concerning their own career status, or any other career management matter. In addition, the Director and Deputy Director of Personnel actively

Finally, Office of Personnel Memoranda and Office of Personnel Notices outlining the structure and responsibility of the board and panels are distributed so that each careerist has an opportunity to review such documents.

The Director of Personnel has monthly meetings to which all Personnel careerists are invited. He also meets periodically with senior Personnel Officers in the directorates, and with the Office of Personnel Advisory Group.

- B. Low Percentile. In consideration of individuals who rank low in the competitive evaluation exercise, the Office of Personnel has not yet found it necessary to resort to termination.

A review of the comparative evaluations recently completed reveals that only two officers were considered to be performing at a substandard level. Of these two, one has retired under the discontinued service option and the other has been counseled by his division chief that his performance is marginal and that if his performance does not improve considerably by June, it will be recommended that he be reassigned out of the division.

The ranking of the other officers reveals that all of those ranked low have received "Strong" or "Proficient" fitness reports and are not considered to be questionable performers in their current work assignments. Some of these officers are extremely valuable in their positions and would be extremely difficult to replace if they were terminated.

In several cases individuals have been counseled concerning their standing among their peers and have been advised that although their performance is satisfactory, further advancement is doubtful.

Also, we have had several marginal employees where counseling,  
training and reassignment resulted in rehabilitation and the  
employees became valuable members of the Career Sub-Group.

10 MAY 1976

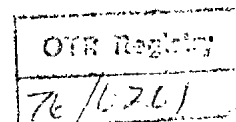
OFFICE OF SECURITY  
RANKING AND EVALUATION MECHANISM

- I. Ranking and evaluation of Security careerists is accomplished through a system of career boards and panels.
  - A. Professional Career Board
    - GS-14 to GS-15 Panel
    - GS-13 Panel
    - GS-12 Panel
    - GS-06 to GS-11 Panel
  - B. Clerical Career Board
    - GS-07 to GS-09 Panel
    - GS-06 Panel
    - GS-05 Panel
- II. The Office of Security Supplement to the DDA Personnel Management Handbook has been made available to all MS careerists and includes detailed information with respect to each of the following.
  - A. The precepts used by the panels to competitively evaluate Security careerists.
  - B. Attributes considered in competitive evaluation and promotion.
  - C. A statement that all careerists ranked in Category V (sub-standard) will be informed of that fact and counseled; all other employees may, upon request, learn of their respective ranking by contacting any member of their career board or their career panel.

- D. A schedule of the times during which competitive evaluation and promotion exercises are to be completed by the various panels.
- III. Office of Security Notices, including the following information, have been made available to all employees.
  - A. The membership of the career boards and panels.
  - B. The identities of career counselors, grievance counselors, EEO counselors, etc.
- IV. From 1973 until the present time, the following ranking mechanism has been used within the Office of Security.
  - A. Division Chiefs, Special Agents in Charge, and functional Deputy Directors provide career panels with suggestions and current comments with respect to the ranking of employees under their supervision.
  - B. Panels rank employees by category based on information contained in individual personnel files and on suggestions and comments received through command channels. Although suggestions and comments received through command channels are taken into consideration by the panels, the panels themselves actually accomplish the initial ranking and frequently modify suggestions made to them by current supervisors.
  - C. The career board reviews all rankings made by panels and sometimes suggests to the Director of Security that rankings made by panels be modified.
  - D. The Director of Security approves the final ranking of each employee, taking into consideration the recommendations made by the panel and any changes suggested by the career board. Occasionally the Director of Security will change the ranking of an employee based on his own knowledge.
  - E. Except for the final lists of rankings, all suggestions, comments, and preliminary data used by panels in completing their rankings are considered to be working papers only and are not made a part of our official files. These working papers are retained for a time as background information so that career board or panel members may be able to explain to any employee,

upon request, the basis for his ranking in a particular category. As each ranking exercise is completed, all of the working papers from the preceding ranking exercise are to be destroyed.

- V. The Office of Security Career Board is now actively considering possible changes in our ranking mechanism. Changes under consideration range from the possibility of panels completing rankings based solely on information contained in the employee's personnel file without additional ranking suggestions or current comments from supervisors, to the possibility of current supervisory comments on each of the individual characteristics on which competitive evaluations are based (see attachment).
- VI. Although employees ranked in Category V are notified and counseled by their Division Chief, there is no current requirement in the Office of Security that any specific number or proportion of employees be ranked in Category V or listed as potentially surplus. In the past, when the Office recognized that it was overstaffed and that some surplus of employees might be necessary, panels and boards have been required to identify from five to ten percent of their employees as potentially surplus to the needs of the Office.



MEMORANDUM FOR: Career Management Officer, DDA

25X1

FROM :   
Chief, Plans and Resources Staff, OTR

SUBJECT : Outline of MT Career Sub-Group Promotion  
Procedures

1. The personnel policies and procedures of the Office of Training and the MT Career Sub-Group follow those set out in the Personnel Management Handbook of the Directorate of Administration (April 1975). All OTR employees are urged to acquaint themselves with the Handbook. Copies are maintained on reference in the OTR libraries.

2. The general framework for competitive evaluation rankings is provided by MT Career Sub-Group evaluation panels which function in an advisory capacity to the Director of Training. Each MT careerist--staff or contract--is under the cognizance of one of the panels. The panels and the categories of personnel for which they are responsible are as follows:

a. MT Career Board

All MT Career Sub-Group staff personnel in grades GS-10 through GS-14 and contract personnel in this grade range who are assigned in the Headquarters area.

b. MT Career Panel

MT Career Sub-Group staff and contract personnel in the Headquarters area in grades GS-03 through GS-09, except contract instructor personnel of the LLC.

c. Language Instructor Panel

Contract instructor employees of the Language Learning Center. (LLC supervisory and clerical contract personnel are evaluated by the MT Career Board and MT Career Panel, respectively.)



d.  Service

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All non-rotational General Schedule employees. Wage Board employee promotions will be administered through the supervisor; approved by COS.

3. Supervisors will inform employees which panel is responsible for evaluating them.

4. The membership and procedures of each of the OTR evaluation panels will be published by separate notice, as will such additional delineation of personnel policies as the Office of Training and the MT Career Sub-Group may require.

5. EVALUATION CRITERIA

a. Criteria to be used in ranking employees for value to the Agency are:

(1) Professional Employees

Knowledge of subject matter  
Knowledge of training techniques  
Teaching ability  
Managerial ability  
Productivity/Quality of product  
Interpersonal skills  
Writing ability  
Ability to perform in other OTR job areas  
Potential for higher positions  
Rotatability to other components  
Seniority  
Reliability

(2) Technical employees

Knowledge of subject  
Skill in performing in the technical area  
Productivity  
Quality of product  
Managerial ability  
Interpersonal skills  
Ability to perform in other OTR job areas  
Potential for higher positions  
Rotatability to other positions  
Seniority  
Reliability

(3) Clerical Employees

Knowledge of office operations  
Ability in clerical skills  
Organizational ability  
Interpersonal skills  
Productivity  
Quality of product  
Ability to perform in other OTR positions  
Rotatability

b. In ranking employees for promotion, panels will consider the above criteria and the following criteria:

Minimum time in grade consideration  
Unique contribution  
Relative responsibility

c. Attached are "Definitions of MT Rating Criteria" for your information.



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Att

## DEFINITIONS OF MT RATING CRITERIA

### Professional Employees

1. Knowledge of Subject Matter. Depth of knowledge in substantive areas required for effective job performance, such as knowledge of the Agency and its activities, information science, operations, management science, area information, instructional development, etc.

2. Knowledge of Training or Administrative Techniques. Knowledge of techniques available to instructors to successfully plan and conduct training courses, to include learning strategies available as well as evaluation techniques and systems.

(or)

Knowledge of administrative techniques available to successfully perform administrative tasks such as records systems, paper flow, registration activities, or course management.

3. Teaching Ability. Ability to convey information to students or to create the proper learning environment to effect learning.

4. Managerial Ability. Ability to perform managerially in the effective use of personnel, funds and material resources.

5. Productivity. In terms of the output of his or her job, the quantity of output compared with other workers or the supervisors expectations.

6. Quality of Product. In terms of the output of his or her job the quality of the output compared with other workers or the supervisors expectations.

7. Interpersonal Skills. Ability to relate to other people-subordinates, peers, and supervisors; people with whom he deals in arranging his work such as guest speakers and training officers; and with students.

8. Writing Skills. Ability to express ideas on paper in a well organized, clear, and concise fashion.

9. Ability To Do Other OTR Jobs. Ability to be moved to other jobs in OTR--in the instructional field from one course or faculty to another; from administrative work to instructional or vice-versa--essentially lateral movement.

10. Potential For Higher Positions. Apparent ability to perform work with greater responsibility or greater complexity, including ability to manage and supervise.

11. Rotatability To Other Agency Components. Ability to rotate to other components for the purpose of learning new knowledge or refreshing knowledge of Agency activities. Qualities or abilities which make the employee attractive to another component.

12. Seniority. Length of service in OTR reflecting experience and knowledge of OTR and OTR operations, including time in a particular job (for the purpose of comparing with less experienced employees.)

13. Reliability. Degree to which the employee can be relied upon in terms of presence or absence, willingness to accept and complete assigned tasks.

### Promotion Criteria

1. Time and Grade. This is comparable to seniority but is meant to be an additional weighting factor favorable to those who have been in grade for longer periods of time. Rule of Thumb: One point for each year in grade.

2. Unique Contribution. This is for the employee who has made a substantial contribution which deserves reward, e.g. preparation of a lengthy important publication, organization of a new course, development of a new system of administration, production of a major film--when the employee's contribution was paramount to the success or quality of the product.

3. Relative Responsibility. This factor weighs comparative responsibility and can be measured in terms of numbers of people supervised or importance of the task to the office mission, for example, a GS-12 performing in a GS-14 position, a GS-12 supervisor with 15 employees versus one supervising no employees.

Technical Employees

Skill in Performing in the Technical Area. Ability in the area of specialization, such as artistic ability for illustrators, ability to repair or maintain technical equipment, skill in the use of film or video equipment.

Panel

DDA 75-3718

17 JUL 1975

MEMORANDUM FOR: Head of MG Career Service  
All DDA Office Directors  
DDA Career Management Officer

SUBJECT : DDA Personnel Panel

1. At the present time the DDA Career Service has no particular problem in placing available DDA officers in vacancies within their own career sub-groups. Unfortunately, there is no effective way to select an officer from one career sub-group for assignment to another within the Administration Directorate.

2. There is an immediate need for a mechanism to find the best officers in the DDA for MG jobs. This need will be even more necessary in time as increasing vacancies occur created by the lack of new additions to the MG Sub-Group. That same mechanism should be used to provide for inter-sub-group rotational tours, to place officers excess to one sub-group in another sub-group where they can be utilized properly, and to aid in placement problems existing in any sub-group.

3. I am establishing a group to be known as the DDA Personnel Panel to be chaired by the DDA/CMO. Its members will be the Career Management Officers from each DDA office/sub-group and from the MG Career sub-group. The latter will act as executive secretary.

4. The choice in appointment of an Office Sub-Group Career Management Officer is the responsibility of each office Director. I do, however, want to give you some guidelines for choosing such an individual. A Career Management


Officer should be a member of his own career sub-group or an M career officer formerly of that sub-group. He should have been a part of that sub-group long enough to be familiar with most of the individuals concerned. He should be a relatively senior officer - GS-15 or GS-16 - who, at least for this function, will report directly to the Office Director (Deputy Director) and must be most aware of the Office Director's thoughts about his personnel and their careers. Although the Office Director will concur in the minutes of each meeting of the DDA Personnel Panel, his career management officer will in essence be speaking for him at the panel meetings.

5. Initially I am charging the DDA Personnel Panel with the following responsibilities:

- a. To fill those MG jobs for whom MG career officers are not available from within that Sub-Group.
- b. To transfer officers between sub-groups on a routine basis to fill jobs requiring special talents or as an aid in career development.
- c. To place DDA career officers excess to their Sub-Groups in available jobs throughout the Directorate best utilizing their talents.
- d. To aid in developing the best use for placement problems.

6. The panel will schedule meetings at least every two weeks. These can be cancelled if necessary but it is hoped, at least at first, cancellations will be held to a minimum. Following each meeting the minutes will be forwarded to each Office Director for concurrence.

7. Although there will be an agenda it is hoped time will be available in the early life of this panel for general discussions so that the Career Management Officers may better know each other, the DDA Offices, and some of the problems involving personnel.

  
John F. Blake  
Deputy Director  
for  
Administration

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PERSONNEL

10 February 1975

LETTERS OF INSTRUCTION

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References:

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1. [ ] established the Letters of Instruction (LOI) as one aspect of the management processes of the Agency. Additional guidance was provided by [ ] concerning the substance and preparation of the LOI. Within a total area of an employee's responsibilities, the LOI focuses attention of the supervisor and the employee on specific annual performance objectives and establishes plans for their accomplishment.

2. The initial LOI's were, for the most part, prepared in early 1974. Supervisors and employees should review their LOI's during the first quarter of 1975 and make the necessary revisions to record significant changes in duties, responsibilities, or specific performance objectives.

FOR THE DIRECTOR OF CENTRAL INTELLIGENCE:

JOHN F. BLAKE  
Deputy Director  
for  
Administration

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PERSONNEL

23 April 1974

LETTERS OF INSTRUCTION

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- References: (a) [redacted], Letters of Instruction, dated 20 December 1973  
(b) [redacted], New Approaches to Personnel Management, dated 1 April 1974

1. This additional background information and guidance is prompted by questions raised in implementing LOI procedures.

2. Consistent with the New Approaches to Personnel Management announced by the Director on 1 April 1974 each Deputy Director has considerable latitude in prescribing guidance and procedures for the development and use of Letters of Instruction. It is expected that the implementation of such systems will be in harmony with the management of other personnel programs within each of the five Career Services and their established Career Sub-Groups. Therefore, no Agency-wide format or procedure for LOI's is contemplated.

3. Letters of Instruction are designed to introduce reasonable application of the concept of management by objectives in supervisory relationships. LOI's are intended to ensure two-way communication and understanding between supervisors and their immediate subordinates in developing realistic plans of action toward the accomplishment of specified objectives. The essential purpose of the effort is to improve productivity through increasing mutual commitment and focusing cooperative action toward the achievement of measurable goals. LOI's will be revised to record any significant changes in the employee's duties and responsibilities or in agreed performance objectives. There is some consensus that LOI's are most useful as individualized documents whose length and detail vary with the needs of the supervisor and the employee. Pertinent factors would include the relative complexity of the job, the experience of the employee in the job, and the types of related documentation available. Effective LOI systems will be managed with recognition that much of their value lies in the communications process which takes place before the LOI document is produced.

4. The LOI program contemplates frequent discussions and constructive evaluations of progress toward specified targets of accomplishment which should foster productivity. Generally, this intermittent review of performance in terms of mutual expectations will also facilitate the recording of annual performance evaluations in meaningful terms. However, such post facto use of the objectives

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PERSONNEL

23 April 1974

stated in LOI's as benchmarks for recording annual performance evaluations should not be overemphasized in relation to the primary purpose of LOI's as forward-looking plans of action toward defined targets of accomplishment.

5. Questions have been raised concerning the relationship of LOI's to official position descriptions. A Letter of Instruction need not cover the full range of an employee's duties and responsibilities as would be recorded in his position description. Instead, within the parameters of a current position description, the Letter of Instruction targets positive action plans toward selected priority objectives. However, the related discussions of work requirements can serve to identify significant changes in the nature and scope of an employee's duties and responsibilities and to trigger the preparation of an updated position description when indicated.

6. Representatives of the Offices of Training and Personnel are available to assist those who are involved in the development and introduction of LOI procedures appropriate to the Career Service concerned.

FOR THE DIRECTOR OF CENTRAL INTELLIGENCE:

HAROLD L. BROWMAN  
Deputy Director  
for  
Management and Services

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## PERSONNEL

// (2) LETTERS OF INSTRUCTION. Supervisors will provide employees with written statements of the nature and scope of their work. To the extent practicable these statements will include annual performance objectives and action plans which specify the timing of results which the employees intend to accomplish. Supervisors will participate with employees in defining such objectives and plans as the standards for evaluating each employee's performance in terms of his productivity during the following year. Letters of instruction will be revised to record any significant changes in duties and responsibilities or in specific performance objectives. //

## (3) RECORDING PERFORMANCE EVALUATIONS

- (a) The Fitness Report (Form 45) will be used to record performance evaluations and will be prepared and submitted in accordance with the instructions contained in Form 45i, Directions for Completing Form 45, Fitness Report.
- (b) A memorandum in lieu of Form 45 is permitted for employees in grade GS-14 and above when it is clearly established that such a substitute is appropriate and not merely an avoidance of specificity. When a memorandum is used, care should be taken to ensure that the purposes of a Fitness Report are observed. The memorandum will be prepared in accordance with instructions contained in Form 45i.
- (c) Promotion recommendations will not be made on Fitness Reports.
- (d) Rating officials will evaluate supervisors annually on their performance in equal employment opportunity areas such as identification of personnel with potential for advancement, especially members of minority groups and women, maximum utilization of personnel, and participation in upward mobility programs.

## (4) SUBMISSION OF REPORTS

## Γ (a) Fitness Reports for Career and Reserve Employees

- (1) Initial Report. Supervisors will prepare a Fitness Report, Form 45, for each Career and Reserve Employee nine months after the employee's entrance on duty, unless a report had been prepared for some other reason within the previous 90 days. This report may be deferred up to 30 days if the employee has been under the jurisdiction of his supervisor for less than 90 days. In addition to the normal review, the report will be reviewed by the Operating Official concerned, or his designee.
- (2) Annual Report. Supervisors will prepare a Fitness Report, Form 45, for each Career and Reserve Employee annually, unless a report had been prepared for some other reason within the previous 90 days. An annual report may be deferred up to 30 days if the employee has been under the jurisdiction of his supervisor for less than 90 days. Annual Fitness Reports should be submitted in accordance with the following schedule:

→Revised: 13 June 1974 (818)

CONFIDENTIAL

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DDA CLERICAL MANAGEMENT PROGRAMS

Focus in 1975

- (1) Competitive Evaluation Systems
- (2) Clerical Rotation Program

Competitive Evaluation Systems

With one exception all Offices and the O/DDA either have working systems or are in the process of establishing working systems for competitive evaluations. Once in being the evaluations will consist of competitive rankings using the new descriptors.

Clerical Rotation Program

- (a) Program initially proposed directly to DDA offices for a trial rotation period of 3/6 months.
- (b) Because of poor response, survey of clericals was suggested.
- (c) Survey presently in draft, awaiting coordination before distribution made to clericals. Will be submitted to DDA Personnel Panel.

Focus in 1976

- (1) Clerical Career Service
- (2) Upward Mobility Program

Clerical Career Service

Will propose an improved Directorate-wide career service by the following:

1. Rely on Offices to rank clericals by use of competitive evaluation systems.
2. Use Office evaluation systems as a key factor in filling senior clerical vacancies, mainly secretarial.
3. Establish a procedure to evaluate DDA senior secretaries across-the-board to be an integral part of the selection process for filling vacancies.

Upward Mobility Program

Presently exploring the feasibility of a Directorate-wide program versus an Agency-wide program as proposed by EEO Office.

Closely examining the NPIC Director's Opportunity Program.

UPWARD MOBILITY IN THE DDA

DEFINITION

Upward Mobility is defined as a systematic management effort that focuses Federal personnel policy and practice on the development and implementation of specific career opportunities for lower level employees (below GS-09 or equivalent) who are in positions or occupational series which do not enable them to realize their full work potential.

CONVERSIONS TO PROFESSIONAL STATUS

<u>Clerical to Professional</u>		<u>Technical to Professional</u>	
<u>FY75 Achievement</u>	<u>FY76 Goal</u>	<u>FY75 Achievement</u>	<u>FY76 Goal</u>
34	35	65	59

Present Programs in DDA

Procedures for upward mobility are required by law. The DDA is investigating the possibility of a program on a Directorate basis to supplement those either in being or planned by the various offices. At the present time one office has a fairly active Upward Mobility Program and three Offices have informal procedures meeting some requirements. Four of the offices and the O/DDA do not have Programs at this time.





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DIRECTORATE OF ADMINISTRATION

PERSONNEL MANAGEMENT  
HANDBOOK

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## CONTENTS

	<i>Page</i>
FOREWORD .....	v
SECTION I .....	1
Directorate Personnel Policies .....	1
SECTION II .....	3
Organization and Operation of the Directorate Career Service .....	3
A. Policy .....	3
B. Composition of Directorate Senior Personnel Resources Board .....	3
C. Responsibilities of the Board .....	3
SECTION III .....	5
Personnel Evaluation .....	5
A. Policy .....	5
B. Letters of Instruction .....	5
C. Performance Evaluation—The Fitness Report .....	5
D. Competitive Evaluation .....	7
SECTION IV .....	9
Promotions .....	9
A. Policy .....	9
B. Responsibilities .....	9
C. Headroom .....	10
D. Promotion Criteria .....	10
SECTION V .....	11
Awards and Recognition .....	11
A. Policy .....	11
B. Honor, Merit and Service Awards .....	11
C. Quality Step Increases .....	12
SECTION VI .....	13
Training .....	13
A. Policy .....	13
B. Responsibilities .....	13
C. Types of Training .....	14

Administrative  
Internal Use Only

	<i>Page</i>
D. Selection Criteria . . . . .	14
E. Academic Training . . . . .	14
F. Professional Associations . . . . .	15
G. Training in Clerical Skills . . . . .	15
H. Off-Campus Program . . . . .	15
SECTION VII . . . . .	16
Rotational Assignments and Transfers . . . . .	16
A. Policy . . . . .	16
B. Employee Utilization . . . . .	16
C. Mobility and Rotation . . . . .	16
SECTION VIII . . . . .	18
Employee Counseling . . . . .	18
A. Policy . . . . .	18
B. Job and Career-Related Counseling . . . . .	18
C. Equal Employment Opportunity Counseling . . . . .	18
D. Medical Counseling . . . . .	19
E. Security Counseling . . . . .	19
F. Legal Counseling . . . . .	19
G. Financial Counseling . . . . .	19
H. Retirement Counseling . . . . .	19
I. Employee Conduct Counseling . . . . .	20
J. Inspection Staff of the Office of the Inspector General . . . . .	20
SECTION IX . . . . .	21
Employee Grievances . . . . .	21
A. Policy . . . . .	21
B. Review of Grievances in the Directorate . . . . .	21
C. Protection of Complainant . . . . .	22
SECTION X . . . . .	23
Surplus Personnel . . . . .	23
A. Policy . . . . .	23
B. Procedures . . . . .	23

Administrative  
Internal Use Only

## FOREWORD

The introduction to Chapter 230, Subchapter 1 of the Federal Personnel Manual states that management of people is of primary importance because only through their efforts are the objectives, missions, projects and work of an organization accomplished. Personnel management is an integral part of over-all management activities. Successful implementation of personnel programs requires the assumption of responsibility by both management and individual members of the Career Service.

The philosophy of personnel management in the Agency has evolved in response to changing needs. The Personnel Approaches Study Group (PASG) Report, which was approved by the CIA Management Committee on 7 January 1974, identified the need for new approaches appropriate to the present times. Each Deputy Director was tasked with implementing the PASG Report but was given discretion as how best to implement the PASG actions to meet his unique personnel requirements. The Directorate for Administration with its ten Career Sub-Groups (elements formerly designated as individual career services) reflect a wide range of professional talents and professional requirements that pose challenges in developing a uniform Directorate-wide Career Service while providing the Sub-Groups with necessary management flexibility. It is realized that there will be differences in the personnel management structures and procedures, but we have examined and evaluated these differences to ensure that they reflect a genuine requirement and are not the result of historical decisions and evolutions which are no longer valid.

This Handbook presents personnel management policy for the Directorate for Administration. The Handbook will facilitate decisions and promote consistency of interpretation and application across intra-Directorate lines, provide a record to guide future policy, serve as a framework for the revisions that appear to be desirable on the basis of experience, and assign responsibility for carrying out specific aspects of the program. The greatest purpose it can serve, however, is to provide careerists with a clearer understanding of the personnel program of the Directorate.

April 1975

John F. Blake  
Deputy Director  
for  
Administration

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## SECTION I

### DIRECTORATE PERSONNEL POLICIES

A. With regard to personnel management, the Directorate for Administration aims to achieve the maximum uniformity appropriate and feasible throughout the Directorate while allowing flexibility as necessary to meet specific component requirements.

B. Employees should be aware that although this Handbook outlines management's policies and procedures regarding personnel management, there are certain implied responsibilities of employees. The management of personnel is mutual between managers and managed. All employees should be interested and active in the implementation of the procedures outlined in this Handbook; the purpose and totality of personnel management can only be achieved through a spirit of mutual cooperation and trust.

C. The following statements reflect basic personnel policy as recorded in  and support Agency and Directorate personnel management objectives:

1. In furtherance of their assigned responsibilities, Heads of Career Sub-Groups within the Directorate will, as appropriate, ensure:

That all employees are provided opportunities to develop their professional qualifications through experience and training in pursuit of the Agency's mission and to advance personally in doing so to the maximum extent possible consistent with their demonstrated abilities and the needs of the service;

That employees in their Sub-Group are afforded career counseling and reasonable assistance in their career development including possible consideration for development in functional specialties in other components of the Directorate and the Agency;

That all employees are aware of training opportunities, receive the type and amount of training necessary for effective performance in their current assignment and are provided additional training to foster growth throughout the period of employment;

That special work opportunities are identified within and outside the Directorate to broaden the experience and encourage the professional growth of individuals who exhibit exceptional talent and potential;

That personnel evaluation systems, including evaluation criteria, are regularly examined to improve their validity and to ensure their conformity to Directorate guidelines and policy;

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That the Annual Personnel Plan (APP), the Personnel Development Program (PDP), and other tools of Management by Objectives are used for more effective manpower planning and utilization;

That equal and fair employment opportunities are provided for all employees, irrespective of race, color, religion, sex, age, or national origin;

That required personnel reductions are effected as fairly as possible.

2. Office supervisors and career management officials will:

Provide employees with the opportunity to assume new and greater responsibilities as they demonstrate the competence and willingness to do so;

Strive to be alert to new and better programs and methods for improving the work performance of all employees and for updating training in knowledge and skills germane to job requirements and to career development;

Provide each individual with a mutually agreed upon written explanation of objectives and responsibilities that will provide the basis for the evaluation of performance, i.e., Letter of Instruction;

Ensure that meaningful performance evaluations are prepared according to Agency guidelines and policies to provide consistency in the application of evaluation standards and criteria and to provide individuals with a basis for measuring their performance and progress;

Inform employees, where possible and appropriate, and in a manner that can be readily understood, of specific actions, plans, or procedures which affect them, or which might be of general interest to them;

Endeavor to minimize the difficulties generally attendant to the movements of employees between Directorates and Agency components;

Endeavor to keep employees fully informed of their rights as well as their obligations to the Agency; and conscientiously follow prescribed procedures to ensure that employees are treated fairly and that their problems are resolved equitably.

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## SECTION II

### ORGANIZATION AND OPERATION OF THE DIRECTORATE CAREER SERVICE

#### A. Policy

The Senior Personnel Resources Board (SPRB) of the Directorate for Administration advises and assists the Deputy Director for Administration (DD/A) with his responsibilities as Head of the Directorate Career Service. The SPRB also is responsible to the DD/A for the career management of the supergrade officers of the Directorate. The Head of each Career Sub-Group is responsible for the career and personnel management of all personnel assigned to the Career Sub-Group, which includes professionals as well as personnel in the clerical and technical categories. Additionally, within the Directorate, there is a Career Sub-Group Board for general Support Officers (through GS-15). Appropriate Sub-Group boards and panels are established by the various Heads of Career Sub-Groups.

#### B. Composition of Directorate Senior Personnel Resources Board

Chairman: A/DDA

Members: Directorate Office Directors

Alternate Members: Directorate Deputy Office Directors

Executive Secretary: Directorate Career Management Officer

#### C. Responsibilities of the Board

1. Approving and periodically reviewing promotion, ranking and evaluation criteria and procedures established by the Career Sub-Group Boards to ensure that they are in accordance with Directorate standards and guidelines and that they have been disseminated to appropriate employees.

2. Establishing policy for inter- as well as intra-Directorate personnel movements including transfers as well as rotational assignments for career development purposes.

3. Reviewing and monitoring the standards and methods for the selection of Directorate candidates for advanced level internal and external training courses.

4. Providing career management for supergrade personnel.

5. Reviewing annually the status of Directorate supergrade personnel in Personal Rank assignments and recommending corrective action when needed.



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6. Establishing uniform standards for determining the level of Honor and Merit Awards to be recommended for Directorate personnel.
7. Developing procedures for handling potential Directorate surplus cases.
8. Approving and periodically reviewing counseling programs established by the Directorate Career Sub-Groups.
9. Developing Directorate-wide personnel objectives in conjunction with Agency personnel planning devices such as the Annual Personnel Plan and the Personnel Development Program.

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### SECTION III

## PERSONNEL EVALUATION

### A. Policy

Letters of Instruction, performance evaluations, and competitive evaluations are the principal elements in the personnel evaluation program of the Administration Directorate Career Service. Letters of Instruction are statements supervisors will work out with employees on the nature and scope of their work. These statements will be revised as appropriate to record significant changes in duties and responsibilities or in specific performance objectives. Performance evaluations must, among other things, be based on Letters of Instruction and should measure an employee's performance for the period specified. Competitive evaluation is a tool to assist management in making judgements concerning the individual employee's future and potential.

### B. Letters of Instruction

1. Letters of Instruction (LOI) will be prepared in accordance with Headquarters [redacted] Since LOI's are a useful and essential part of the Agency's effort to implement a system of management by objectives, each supervisor must ensure that each careerist receives an LOI describing his/her responsibilities within 45 days after assuming the responsibilities of that assignment. While no specific format need be followed in the preparation of the LOI, it is important that the LOI be a joint effort between the supervisor and the employee. To the extent practicable and in order to provide a framework of standards against which the employee's performance may be rated, the statement will include annual performance objectives that specify the results that the employee must achieve. When a decision has been reached on the content of the LOI, it will be prepared in final form. Copies of the document will be retained by the supervisor and the employee; arrangements may be made to send a copy to the Head of the Sub-Group, if so desired.

2. In order to take the greatest advantage of the LOI, the supervisor will periodically review the performance in light of the instructions and objectives contained in the LOI. Such reviews should ideally be conducted at established intervals during the performance rating period. In the course of these sessions and at other times, if necessary, the LOI should be amended to reflect changes in the responsibilities and duties of an individual's assignment.

### C. Performance Evaluation—The Fitness Report

1. In the interest of achieving reasonable uniform standards throughout the Directorate for rating and preparing Fitness Reports, policies and pro-

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cedures will be in conformance with Agency regulations (particularly [redacted] the instructions contained in the Fitness Report Form and its attachments (Form 45i), and this Handbook.

2. Performance evaluations are only one part of the total personnel evaluation process. The Fitness Report should reflect what an employee is doing, has been doing, and how well it has been done. This evaluation should measure performance in light of the instructions and objectives contained in the Letter of Instruction. Potential for advancement should not be addressed in the Fitness Report, but in the competitive evaluation process.

3. No employee should be surprised by the content of the performance evaluation. It is the responsibility of supervisors to ensure that employees have a current and continuing appreciation of how the supervisor views their work. In completing the Fitness Report form, specific duties should be listed in diminishing order of importance and weighted accordingly to arrive at the over-all rating. The rater must take into account those factors enumerated in Form 45i which must be commented on in the Narrative Comments.

4. In accordance with [redacted] a Fitness Report will be prepared at least once each year for staff personnel. An employee will be shown the completed Fitness Report form at two points in the process—once before the reviewing official has added comments, and once after. The employee's signatures merely acknowledge that he has seen the Fitness Report on both occasions. The person being rated may attach to his Fitness Report a memorandum concerning any part of the report. Such memorandum and the Fitness Report will be forwarded through the Head of the Career Sub-Group to the Office of Personnel for inclusion in the Official Personnel Folder. The Head of the Career Sub-Group will assure that any comments reflecting differences between the employee, the Rating Official and the Reviewing Official are carefully reviewed.

5. Rating Officers will ensure that performance has been the subject of prior discussions with the employee before the time of the Fitness Report. Comments by reviewing officials should, whenever possible, cast further light on such performance of the employee and add perspective to the rater's comments. The simple statement, "I concur," is not acceptable. Reviewing officials are responsible for assuring that all reports made by rating officials under their jurisdiction are consistent with and reflect uniform standards of reporting. If the reviewing official is in substantial disagreement with the rating official, he should state whether or not the evaluation has been discussed with both the rating official and the employee. Such disagreements between rating and reviewing officials are to be brought to the attention of the Head of the Career Sub-Group.

6. The definitions of the evaluations of Specific Duties and of Over-all Performance will be interpreted in accordance with the Fitness Report Form 45.

7. A regular step increase, if one is due, is awarded when the supervisor has certified that the employee is performing at an acceptable level of competence. An employee's work is not at an acceptable level of competence if his performance is below proficient, even though not sufficiently below to question the individual's continued employment. A regular step increase should be with-

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held if an employee has been given on his current Fitness Report an over-all rating of Marginal or Unsatisfactory. When a step increase is withheld the supervisor must inform the employee by memorandum which will set forth the specific conditions and reasons for the determination and the time when the supervisor plans to reappraise the employee's performance (see  for detailed information on all aspects of regular step increases).

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**D. Competitive Evaluation**

1. Competitive evaluation is an integral part of the personnel management process. Evaluating relative capabilities and potential of employees, i.e., the net worth to the Career Service, serves to facilitate decisions involving promotions, utilization, reassignments, training, adverse action and other competitive personnel actions. In recognition of the diversity of professional qualifications and requirements in the various components of the Directorate, each Head of a Career Sub-Group is responsible for developing those unique criteria which will be the basis for the annual competitive evaluation and ranking of the employees in his Career Sub-Group.

2. Each Head of a Career Sub-Group should maintain a suitable panel structure by grade or function to conduct annual competitive evaluations. As part of the personnel management cycle, the annual competitive evaluation should follow the Fitness Report cycle and precede promotion consideration.  prescribes the dates for submission of Fitness Reports.

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3. In the Administration Directorate Career Service, the following personnel will be competitively evaluated at least once a year:

a. All professional GS careerists in grades GS-07 through GS-15.

b. All clerical personnel in grades GS-06 and above, or those clerical employees in lower grades who have been with the Agency a minimum of three years. (Those excluded from panel review and evaluation will be evaluated by their supervisors, who will make recommendations to the appropriate panel for promotion, training assignment or other action.)

c. Evaluation of other categories (i.e., technicians, Wage Board employees, etc.) of personnel is determined by the Head of the Career Sub-Group.

4. The purpose of the competitive evaluation is as follows:

a. To identify those employees with the highest potential for future advancement;

b. To identify those employees with the least potential and to initiate appropriate career action (e.g., counseling or training) or adverse action (e.g., separation or downgrading);

c. To identify those employees who are rated between the above categories;

d. To use the evaluations and the information as the basis for future development and career planning.

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5. The format of the competitive evaluation may result in a sequential listing of all employees in the same grade or grade/function group commencing with the most valuable to the least valuable. Alternatively, at the option of the Head of a Career Sub-Group, employees may be ranked by categories. However, in either case, the system must be such that those with the greatest potential for future growth are identified, as well as those whose record of performance clearly indicates a need for counseling or consideration for removal from the Career Sub-Group.

6. The specifics of the evaluation system to be used in each Career Sub-Group will be submitted for review by the SPRB and approval of the DD/A within 30 days of the publication of this Handbook. This optional system of competitive evaluation will be monitored for one year followed by a review and evaluation to determine if it should be continued or a uniform system be adopted throughout the Directorate.

7. When a careerist is interested or concerned about his relative competitive ranking, he is urged to take the initiative and contact his Career Management Officer, or other designated officer, to obtain such information and to further discuss his future career development.

8. The SPRB will be cognizant of the evaluations and rankings of Directorate officers at the GS-15 level. This should serve as a device for identifying officers whom the Board might wish to consider for promotion to supergrade at the time it is reviewing the supergrade promotion recommendations submitted by the Heads of the Career Sub-Groups.

9. In organizing evaluation panels within the Sub-Group, the following should be considered:

a. Panel membership will be determined by the Head of the Career Sub-Group based on objectivity, ability to contribute, personnel management experience and general employee knowledge rather than solely by position within the chain of command.

b. Notice of membership and subsequent rotation of panel members will be published for all employees, if security conditions permit.

c. Members of the panel should rotate, if feasible, between ranking exercises at the rate of one-third each year.

d. Whenever possible, at least one panel member should be within two grades of the employees being ranked. (This is to limit the grade spread between the panel members and those under the auspices of the panel and to ensure, to the greatest extent possible, personal knowledge of those being ranked.)

e. If panels are arranged by function, one member of the panel should be from an alien function.

f. It is suggested, where physically possible, that panel members have direct contact with the employee and/or employee's supervisor in order to acquire information relative to determining his appropriate ranking in the exercise.

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## SECTION IV

### PROMOTIONS

#### A. Policy

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1. The Administration Directorate promotion policy will be in accord with [ ] and with Agency personnel objectives. Performance and demonstrated ability to perform at a higher level, together with insights gained from the annual evaluation process, are the primary determinants for promotion. Promotions normally are limited by headroom. While the immediate supervisor is primarily responsible for initiating recommendations for promotions and/or concurring in recommendations generated within the Board/Panel structure, the Board/Panel will also recommend.

2. The Directorate Senior Personnel Resources Board and Career Sub-Group Boards or Panels are advisory bodies to the Head of the Career Service and/or the Heads of the Career Sub-Groups. When considering promotions, the Board or Panels must review all employees.

#### B. Responsibilities

1. Supergrade promotions are initiated by the Heads of the Offices or Staffs of the Directorate and are reviewed by the Senior Personnel Resources Board which makes recommendations to the DD/A. The DD/A has final authority on recommendations of supergrade promotions for approval by the DCI.

2. Each Directorate Career Sub-Group will publish the criteria to be used in the competitive promotion evaluation of professional personnel through GS-15, clerical personnel in grades GS-06 and above and those employees in lower grades who have been with the Agency a minimum of three years. Such evaluation must be accomplished at least annually. The Head of a Career Sub-Group may establish separate areas of competition within that Sub-Group when there are significant differences in occupation or functional lines of work. Where appropriate, promotion criteria will be adjusted to these separate areas of competition.

3. Personnel in categories other than professional and clerical, as discussed in paragraph 2 above, may be evaluated for the purposes of promotion whenever the Head of the Career Sub-Group considers appropriate. Although formal competitive evaluation may not be required for these personnel, the principle of competitive evaluation should be followed in selection for promotion.

4. The rankings of employees, where applicable, will be used in the review of recommendations for individual promotions from supervisors and as a tool to ensure that all employees in the appropriate competitive field are considered by the Board/Panels.

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**C. Headroom**

1. The Career Service Grade Authorization (CSGA), prepared monthly by the Office of Personnel, compares by grade the authorized positions of each Career Sub-Group with the numbers and grades of the persons assigned to the Sub-Group. It also records the number of "promotion spaces" or "headroom" available for each grade level in each Sub-Group. Promotions should not be forwarded by the Head of a Sub-Group unless the CSGA or projected CSGA shows headroom (promotion space available on the CSGA to the grade to which the promotion will raise an individual). The Director of Personnel will monitor exceptions which, at GS-14 and above, will need approval of the DD/A.

2. In addition, Directorate employees should be assigned to positions in staffing complements that accommodate their grade and that properly reflect duties and work location.

**D. Promotion Criteria**

1. Consistent with SPRB policy, each Career Sub-Group will develop criteria and procedures for conducting a promotion evaluation at least once a year. These criteria must be published and disseminated to all employees.

2. The quality of performance and demonstrated ability to perform at a higher level should be the primary published criteria for Administration Directorate promotions. Headroom is the basic constraint.

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## SECTION V

### AWARDS AND RECOGNITION

#### A. Policy

1. By Public Law 83-763, the heads of departments and agencies may confer honor or monetary awards on those whose superior accomplishments or other personal efforts contribute to the efficiency, economy or other improvements of Government operations, or who perform special acts or services in the public interest. The Agency has established an Honor and Merit Awards Program . This program has provisions for awards for which all employees may be eligible. Another method of rewarding job excellence is through the Quality Step Increase.

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2. The Administration Directorate supports these programs and encourages participation. Directorate supervisors are urged to be alert to acts of unusual merit or achievement, or sustained superior performance, at whatever grade, so that appropriate recognition action is taken. Recommendation for awards should be made as soon as evidence of merit or achievement is available so that recognition will be prompt. Retirement awards are a particular case in point. The presentation of an award is much more meaningful when it occurs prior to the retirement date.

#### B. Honor, Merit and Service Awards

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1.  contains descriptions of the various awards available. Additional guidance will be provided to the Heads of the Career Sub-Groups to foster a greater uniformity of standards for awards throughout the Directorate.

2. Any Agency employee may initiate a recommendation for an honor and merit award by submitting Form 600, Recommendation for Honor and Merit Award. It must be submitted to the Honor and Merit Award Board through the Head of the individual's Career Sub-Group Board and the Deputy Director for Administration.

3. Nominations for monetary awards, the Exceptional Accomplishment Award and the Special Achievement Award, should be submitted to the Chairman, Suggestion and Achievement Awards Committee, through the Deputy Director for Administration.

4. Advice on assessing employee performance that might qualify for an award and assistance in preparing the recommendation, may be obtained from the staff which supports the Honor and Merit Award Board (extension )

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5. The ceremony for the presentation of an award is a vital part of the awards procedure. Unless circumstances preclude, the various medals are usually presented by the DCI or DDCI. Certificates and unit citations are presented

11  
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by the Head of the Career Sub-Group or Head of the Career Service. Other awards are presented, with appropriate ceremony, by an Operating Official or another officer to whom the responsibility has been delegated.

**C. Quality Step Increases**

1. Quality Step Increases (QSI) are granted, apart from and in addition to regular step increases, in recognition of high quality performance. To be considered for a QSI, an employee must have demonstrated sustained work performance which substantially exceeds that normally found in the type of position concerned. A Quality Step Increase is not to be granted solely as a reward to an employee who is unlikely to receive further promotion.

2. Granting of a Quality Step Increase does not preclude recommendation for an honor and merit award. Both awards may be considered if a specific accomplishment meriting a QSI also warrants recognition under the honor and merit awards program.

3. An employee's supervisor may recommend that an employee be given a Quality Step Increase by forwarding a memorandum through command channels to the Career Sub-Group Board for concurrence by the Head of the Career Sub-Group. The recommendation is then forwarded to the Director of Personnel for approval.

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## SECTION VI

### TRAINING

#### A. Policy

1. [ ] states that it is Agency policy to promote high standards of performance by encouraging employee self-improvement and by sponsoring Agency training programs.

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2. In accordance with this policy, the Administration Directorate encourages and, within budgetary and personnel limitations, supports internal and external training giving employees the skills and understanding to handle their assignments, increase their effectiveness, and develop their potential for greater career development and responsibility. While training enhances possibilities for advancement, it does not entitle an employee to such advancement.

3. Training does not have to be related to the employee's present assignment, but it must contribute to the over-all professional development in areas compatible with the planned utilization of the individual. Careerists interested in various types of training available to them should contact the appropriate officer within his Career Sub-Group for information.

#### B. Responsibilities

1. Training for many career employees depends to a significant degree on individual initiative. Each employee is expected to be aware of his training needs and the training opportunities available and to take the initiative toward self-improvement consistent with Agency needs.

2. Supervisors are responsible for recommending whatever immediate training is necessary for effective employee performance. Supervisors should also help identify training needed to develop an employee's potential, and recommend and approve appropriate training.

3. The Sub-Group's Career Management Officer or Senior Personnel Officer and the component's Training Officer should provide training counseling and assistance to the careerists. Employees should be informed of specific training criteria for functional assignments.

4. The Office or Staff Head oversees the component's Training Program with the advice of career boards and panels; determines, in accordance with Agency policy and regulations and under DD/A guidance and control, the training needs of the unit and the criteria for selecting employees for training; establishes training programs designed to meet the specific needs of the component; designates one or more training officers to ensure that proper training policies and procedures are being applied; and ensures that the employees and first-line super-

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visors have adequate opportunity to acquaint themselves with the existence of training relevant to their respective positions, functions and grades.

5. The Head of each Career Sub-Group should either appoint a Training Panel or utilize the Career Sub-Group Board for the purpose of selecting nominees for senior schools and full time academic training. The criteria used for the selection of nominees for these types of training will be developed and published. The criteria and procedures used in the Career Sub-Groups will be reviewed and monitored by the Senior Personnel Resources Board.

6. The Directorate Senior Personnel Resources Board will review the nominations for senior schools and full time academic training from each of the Career Sub-Groups and make recommendations to the Deputy Director for Administration, who approves requests for full time external training and senior management training.

**C. Types of Training**

1. Training, beginning on the job, may include formal or informal on-the-job training as well as rotational and developmental assignments. Varied courses are offered by the Office of Training and by individual office components. The Agency also finances a considerable amount of external training at colleges, universities and specialized schools.

2. Agency management takes the initiative for providing employees with the training it considers necessary for a specific job. However, an employee should also suggest training courses which he considers appropriate and necessary to his particular assignment. Some courses and briefings are required to familiarize new personnel with Agency, DD/A and Office functions and operations. Specialized training is required for certain categories of employees but is subject to grade or functional limitations. Agency support for external training is limited by quota and availability of funds.

**D. Selection Criteria**

1. The Personnel Development Program requires that Career Services and Sub-Groups formulate Developmental Profiles for professional and technical positions, grades GS-09 and above. These profiles are designed for a functional homogeneous group of officers at progressively higher levels of responsibility; the profiles will identify training courses and types of assignments necessary for planning and developing the talents and abilities of the group.

2. Directorate Career Sub-Group Boards may identify training courses, or Core Courses, for certain functional assignments and grade levels. When such courses are recommended or prescribed, the list must be published as a guideline to employees.

**E. Academic Training**

1. DDA Offices and Staffs may sponsor academic training for employees regardless of grade or position. According to Title 5, U.S. Code, Chapter 41,

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(formerly the Government Employees' Training Act), the training must be related to Agency needs and not for the employee's desire to acquire a degree.

2. Part-time academic training outside duty hours will usually be approved if the training is potentially beneficial to the Agency and if funds are available. The employee receiving this training must have at least one year of current continuous civilian Government service, meet the standard of the training facility and intend to continue in the service of the Agency. In exceptional cases the one-year service requirement may be waived by the DD/A.

3. Training during duty hours takes several forms. It includes internal-training, inter-agency courses, and short courses which last from four hours to several weeks and are offered by private industry or academic institutions. Part-time academic training normally takes place during non-duty hours; however, it may be sponsored during duty hours if the program of study is offered only during this time and is essential to the employee's duties.

4. Selection for full time external training is on a highly competitive basis. Anyone receiving such training is required by Federal Regulations to work for a time-period equal to three times the duration of the training program, but not less than one year, or reimburse the Agency for the cost incurred.

**F. Professional Associations**

Attendance at job related professional gatherings is useful and considered to be training. Within budgetary constraints for travel, such attendance may be sponsored when it is clearly related to the employee's work. Priority will be given to those employees who are members or who have a role in the proceedings of the group, such as presentation of a paper. When the budget does not permit sponsoring work-related meetings, it may be possible for an employee to participate at his own expense without charge to annual leave.

**G. Training in Clerical Skills**

1. Directorate Offices and Staffs are urged to sponsor training for clerical employees in order to enable them to perform more effectively in their present positions and to aid their advancement.

2. The Agency no longer offers refresher courses in typing and shorthand. However, Offices and Staffs may sponsor employees for shorthand and typing training at local adult education centers. In addition, the Civil Service Commission offers a wide variety of courses designed especially for clericals which are conducted during office hours. Local community colleges also offer after-hours courses in clerical and technical skills.

**H. Off-Campus Program**

All employees are encouraged to take courses offered in the Agency's Off-Campus Program. Employees interested in this program should contact the component training officer.

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## SECTION VII

### ROTATIONAL ASSIGNMENTS AND TRANSFERS

#### A. Policy

It is Directorate policy to encourage transfers and rotational assignments when such assignments will provide a meaningful experience to the individual and will benefit the Directorate or the Agency.

#### B. Employee Utilization

Each Career Sub-Group is responsible for:

1. Examining the experiences and positions offered to careerists to determine what is available to employees during their careers.

- The range of assignments offered by the Career Sub-Group should be in accordance, insofar as possible, with the ability of an individual to progress from junior to more senior positions.
- There will be specialists in each Career Sub-Group whose career tracks may be narrow, but there must be opportunities for development and advancement within their specialty.
- The Personnel Development Program requires the establishment of developmental profiles for professional and technical personnel (in grades GS-09 and above) which are designed for functionally homogeneous groups of officers at progressively higher levels of responsibility. The profiles will identify types of assignments necessary for planning and developing the talents and abilities of the group. They should also identify relationships which exist among the various disciplines or tracks.

2. Establishing a program for periodic review of all clerical and technical personnel to identify those individuals with potential for and interest in progression into professional positions. In identifying these individuals, consideration should be given to the individual's background, past performance, information received from supervisory personnel, results of professional aptitude tests, etc. In addition, the individuals will receive counseling on available opportunities and guidance on academic and other training which is important in career development and advancement.

#### C. Mobility and Rotation

1. It is the aim of the Directorate Career Service to develop in its careerists a diversity of professional qualifications and skills in order that the Service will

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have well-rounded and well-qualified officers who can and will be rotated to various professional positions within the Career Service. In order to accomplish this, it is essential that rotational opportunities be made available by each of the Career Sub-Groups at all levels whereby selected careerists can be rotated from one Sub-Group to another in order to develop the background and qualifications needed for assignment to more senior positions within the Directorate. It is recognized that there are positions that require specific experience and technical and/or academic training; it is also realized that because of interests, education and experience, there are employees who will be developed as specialists in specific fields and that the progress and development of these individuals will be within that specialty. In such cases, rotational assignments are not appropriate.

2. In each Career Sub-Group, staffing patterns should be standardized as much as possible; in order to ensure such standardization, it is necessary that each Sub-Group develop guidelines for the selection of internal and external applicants for vacancies. These guidelines will outline the basic minimum requirements for specific positions or groups of positions, including education, experience, training, etc.

3. If a position cannot be filled by a qualified candidate within a Sub-Group (each Career Sub-Group is encouraged to utilize internal vacancy notices), a vacancy notice will be distributed to the other Directorate Career Sub-Groups or to the other Directorates. Those employees interested in being considered for a vacancy should be counseled by his or her Career Management Officer as to how this assignment would fit into the over-all developmental profile of the individual.

4. The Counseling Program of the Career Sub-Group must ensure that all careerists have the opportunity to indicate areas of interest in terms of assignments, training and professional goals. In this way, the Sub-Group Board can be aware of careerists' desires and consider such information in selecting individuals for career development. This counseling program does not have to originate with the designated counselors. The careerist should take the initiative to insure that the appropriate Board or Panel is aware of his interests and desires concerning assignments, training, etc.

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## SECTION VIII

### EMPLOYEE COUNSELING

#### A. Policy

1. The Agency provides a wide variety of counseling services which cover most employee needs. It is the policy of the Administration Directorate to provide counseling services for employees to use on their own initiative. If in doubt of a source for advice and assistance on a particular type of problem, an employee should contact his or her supervisor, component personnel officer or the Directorate Career Management Officer on the staff of the DD/A.

2. Each Career Sub-Group must develop an internal career counseling program to provide its careerists with visible counseling sources to be used on their own initiative for career counseling and guidance. An announcement of this program, together with the procedures and the designated officer, must be published and disseminated to all employees in the Sub-Group.

#### B. Job and Career-Related Counseling

1. It is, first and foremost, the responsibility of supervisors and component chiefs to provide job-related counseling to employees. In addition, it is Directorate policy that each Career Sub-Group will have at least one individual who is responsible to the Head of the Sub-Group for counseling employees on their jobs and careers. The designated officer or officers will provide information and assistance on all aspects of job-related counseling and should be knowledgeable of similar and additional counseling services offered by the Administration Directorate and the Office of Personnel. The officer or officers responsible for counseling are expected to work closely with the employee in an attempt to resolve his professional concerns whether they involve his supervisor, his Career Service or whatever.

2. An employee may also seek counseling by the Directorate Career Management Staff (extension ) or other appropriate members of the DDA Staff. In addition, a Career Sub-Group may refer an individual to the Directorate Career Management Staff.

#### C. Equal Employment Opportunity Counseling

establishes Equal Employment Opportunity policy for the Agency, and  6 May 1974, describes in detail the procedures for resolving complaints of discrimination because of race, color, religion, sex or national origin. Employees who believe that they have been discriminated against must seek the advice of an Equal Employment Opportunity Counselor within 30 calendar

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the Civil Service Retirement System and [ ] for information on the CIA Retirement and Disability System. The Retirement Affairs Division also provides assistance in locating post-retirement employment.

**I. Employee Conduct Counseling**

1. [ ] provide Agency policy and employee guidance on personal and official conduct.

2. [ ] is required to be read by all employees once each year in October. The Headquarters Handbook provides guidance on limitation on outside activities, matters of security, conflicts of interest, and other matters related to the conduct expected of employees. The Executive Officer of the DD/A Staff (extension [ ]) the Deputy Counselor for the Administration Directorate.

**J. Inspection Staff of the Office of the Inspector General**

The Chief, Inspection Staff shall provide a forum for Agency personnel, on a highly confidential basis, to confide grievances or complaints which have not received satisfactory consideration through regular channels of command.

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## SECTION IX

### EMPLOYEE GRIEVANCES

#### A. Policy

1. It is Agency policy that employees have the opportunity to present grievances for prompt and equitable consideration and disposition. By definition, a grievance is an employee's expressed feeling (oral or written) of dissatisfaction with some aspect of his working conditions and relationships which are outside his control.

2. Supervisors at all levels within the Administration Directorate are responsible for listening to and reviewing employee problems and for taking all necessary and feasible action to deal with them.

3. It is Directorate policy to provide a variety of channels for the employee to follow in seeking satisfaction or resolution of grievances. [redacted] established the Agency's policy and procedures for resolving grievances. According to the regulation, if the employee determines that procedures within the Directorate failed to provide satisfactory redress to his or her grievance, the employee may ask for review of the case by the Director of Personnel or, ultimately, through the Inspector General, by the Director of Central Intelligence. [redacted] 19 November 1973, explains the Inspector General's role in the Agency's grievance system.

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#### B. Review of Grievances in the Directorate

1. Employees and their first-line supervisors should communicate regularly with regard to job performance, career development, and working conditions. Grievances should be raised first at this level. If the employee judges, however, that referral of the problem to the immediate supervisor would be ineffective, the matter may be discussed initially with other appropriate levels of management (the branch or division chief, Office Head, or the DDA) or with the component's designated Grievance Counselor.

2. Each Career Sub-Group will designate a counselor for employee grievances; the same officer may also have been designated the Employee Counselor for Job and Career Development matters. Grievance Counselors will be identified in a DDA Notice for all employees. If a complaint is not resolved at the supervisory level, an employee should contact the designated grievance counselor for information, advice, and assistance. In unusual circumstances an employee may prefer to discuss his complaint initially on an informal basis with the grievance counselor on the DDA Staff, the Directorate's Career Management Officer, prior to discussion with his own counselor. Any discussion, prior to initiation of a formal complaint, will be kept confidential at the employee's option. The counselor may help the complainant define and understand the

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problem, suggest appropriate avenues for problem resolution, and/or inquire and intervene discreetly in order to call attention to the problem and facilitate efforts toward resolving the grievance.

3. If the grievance cannot be resolved at the supervisory level or with the assistance of the grievance counselor, the employee may take any unresolved grievance up through the normal chain of command within his own component. Every effort must be made at each level to work out a fair and realistic solution to the problem.

**C. Protection of Complainant**

1. An employee with a grievance will not be vulnerable to or suffer any reprisal as a result of efforts to use established grievance channels as defined in this Section.

2. If there is any apparent attempt by a supervisor to retaliate against an employee as a result of the latter's efforts to seek redress of felt grievances through established procedures, the supervisor's action will be subject to prompt and critical review. Any evidence of such retaliation should be sent immediately to the attention of the Deputy Director for Administration with a copy to the Office or Staff Head.

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## SECTION X

### SURPLUS PERSONNEL

#### A. Policy

At times it is necessary to make resources available for meeting new requirements or for accommodating imposed personnel ceiling reductions. In these circumstances, the resources of the Directorate are reviewed periodically to eliminate or reduce the personnel and funds allocated to less essential functions. It is Directorate policy that such personnel reductions will be made, to the extent possible, from among employees competitively ranked in the lowest categories of the evaluation rankings and with due consideration for the functions being reduced. In the case of reduction that involves particular positions or skills, every effort will be made to locate new assignments for employees. If suitable positions are not available, the Deputy Director for Administration must, of necessity, declare the employee surplus in accordance with Agency procedures detailed in   (This section deals with the separation of employees resulting from a reduction in ceiling or requirements for particular skills and not separation based on performance.)

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#### B. Procedures

If, as a result of reduced ceilings or reduced requirements for particular skills, it becomes necessary to eliminate or reduce a function and associated positions and personnel, the following procedures will apply:

1. The Office or Staff Head, with the advice of the Career Sub-Group Board when appropriate, will review the experience record, qualifications, and relative rankings of each employee in the lowest categories of the competitive evaluation rankings to determine whether the employee can be assigned to another appropriate position within the Office. If it is determined that a suitable position is not available, the employee will be declared surplus to the Office's needs.

2. The employee's official file will then be referred to the DDA Career Management Staff for review to determine if suitable vacancies exist in other DD/A components. Normally this will include requesting appropriate Offices and Staffs in the Directorate to review the total record and interview the employee if there is potential interest.

3. If further reassignment efforts fail, the Office or Staff Head concerned will recommend to the Director of Personnel, through the DD/A, that the employee be declared excess to the Directorate manpower requirements.

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4. The Director of Personnel will then advise the employee of his right to make oral or written representation to an appropriate officer of the Office of Personnel. (See  for procedures to be followed by the Director of Personnel.)

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5. See  for provision for payment of separation compensation to qualifying personnel who are involuntarily separated from the Agency.



## Descriptors for Comparative Evaluation Groupings

Comparative evaluation rankings will be based specifically on performance, potential, and value to the functioning of the particular Career Service or Career Sub-Group involved. The comparative evaluation of employees will be considered in determining appropriate work assignments and career actions such as promotion, training, rotational assignments, counseling, and, if required, adverse actions such as downgrading or separation.

Evaluation systems serve multiple purposes which cannot be accomplished by competitive ranking alone but in which such rankings play an important role. Thus, the determination of employees to be promoted stems from consideration of comparative ranking, performance, the response made to letters of instruction, and the demonstration of capabilities to handle responsibilities to be undertaken.

The Agency has affirmed its adherence to a merit system for personnel actions; therefore, the underlying principle for comparative evaluation must be the relative merit or value of an employee on the basis of performance and manifestation of potential.

### HIGHEST POTENTIAL (HP)

Employees whose experience, qualifications and excellent performance in assignments and training indicate that they have the highest potential for advancement. Career actions should utilize and further develop this potential.

### MAY DEVELOP HIGH POTENTIAL (MD)

Employees whose qualifications and performance clearly are above average and who give indication that they later may demonstrate high potential for greater responsibility. Career actions (assignment, training, experience on the job) should enhance their skills and develop this potential.

### VALUABLE CONTRIBUTION (VC)

Employees whose performance is good and who generally are realizing their potential. This category will include some employees who may be capable of performing at a higher level of responsibility and some who may not. Among those who may not are employees who are making a vital contribution to the functioning of their office (above average or satisfactory performance) and would continue to do so either in their present or a rotational assignment. Career management for employees in this grouping should provide sufficient opportunities for work satisfaction, improvement of skills, and personal growth at current levels of responsibility so that those who may have future potential have an opportunity to demonstrate it.

LIMITED POTENTIAL (LP)

Employees whose overall performance is adequate but who have some characteristic affecting knowledge or performance such that their potential is judged to be limited. Their career planning and counseling should consider whether there are measures which reasonably can be taken to assist them in overcoming such deficiencies, whether their talents can be utilized better in some other function or office, or whether they should be encouraged to seek career opportunities elsewhere.

SUBSTANDARD (SS)

Employees whose performance and potential are substandard in comparison with others of the same grade and occupational category. Requisite administrative actions may include, dependent on the procedures of the Career Service, notification, counseling, training and/or reassignment. Employees in this grouping are subject to downgrading or separation under the procedures specified by Agency regulations and the Career Service. In a surplus situation, employees so evaluated would have low priority for retention.



Special Listing for "Potential Surplus--Function/Skills"

Agency regulations and recent court decisions obligate us to differentiate between those employees who may be considered for separation on the grounds of substandard performance and those who are surplus because the Agency no longer requires their particular skills or functions.

After the Boards have completed the rankings of employees according to present value to the Career Service, they should review the listings to asterisk those employees who come under the following categories for appropriate management action:

1. Are potentially surplus on the basis that their skills are no longer required by the organization, or
2. Are associated with functions to be reduced or eliminated, or
3. Cannot be flexible with respect to assignment (where such flexibility is required).

Employees who have reasonable prospect for reassignment or advancement without retraining should not be identified in this category. Employees may become potentially surplus because the Agency's needs for skills changes over time; when this happens, it poses a career management problem for the employee and the Agency to work out. Should separation be the most appropriate outcome, it should be under the procedure for the separation of surplus personnel and should bear no stigma of poor performance unless that has also occurred.

25 March 1976

MG SUB-GROUP EVALUATION SYSTEM

1. It is the policy of the MG Career Sub-Group to evaluate Sub-Group personnel in grades GS-03 through GS-15 twice each year. The primary evaluation in all cases except GS-15 is scheduled based on due dates of fitness reports. GS-15's are scheduled based on due dates for supergrade recommendations. Interim panels are six months after primary panels. Interim panels may be cancelled; primary panels may not.

2. The MG Career Sub-Group Board is responsible for all Sub-Group evaluations. Appointed evaluation panels are responsible to that Board. Panels are appointed for each grade group from GS-12 through GS-15. The Junior Officer Panel covers MG GS-08 through GS-11 professional officers and GS-09 through GS-11 clericals. The MG Clerical Panel is responsible for all personnel in grades GS-03 through GS-08. MG Specialists at all grade levels are evaluated with MG Generalists.

3. Each panel evaluates all personnel within its grade responsibility according to Value to the Service following the recently approved descriptors. They prepare an additional list recommending those persons felt ready for promotion. Panels have been instructed to ignore headroom and CSGA in their evaluation. Final decisions on promotions are made by the MG Sub-Group Board and the Head of the Sub-Group.

4. To avoid interruptions all Panels, with the exception of the clerical panel, spend one and a half days at ☐ on their rankings. Approximately two weeks before the official panel meeting, information on those officers to be considered to include biographic profiles and recent fitness reports is forwarded to panel members.

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OC-S/M76-100

MEMORANDUM FOR: Career Management Officer, DD/A  
FROM : [redacted] Chief, Communications Services  
VIA : Acting Director of Communications  
SUBJECT : Office of Communications - Competitive Evaluation and Ranking System  
REFERENCE : DD/A 75-5452 (dated 17 November 1975)

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1. If you recall, we were right in the middle of evaluating and ranking our GS-9's, GS-10's, and GS-11's when the referenced memorandum was received. Therefore, out of necessity, we deferred incorporating these "descriptors for comparative evaluation" into our evaluation system until now.

2. Finished drafts of our newly modified evaluation criteria [redacted] and Personnel Management Handbook (OCHB-F 20.20.1) are attached for your information. For your convenience, the major elements of this evaluation and ranking system are described below:

a. On an annual basis, and keyed to the Office fitness reporting schedule, all OC careerists, except those below the basic grade level of their occupational specialty, are evaluated and ranked.

b. To better handle the quantity of people involved and because these people are so widely dispersed throughout the world, preliminary evaluations are conducted both at Headquarters and abroad at the major component or Area Headquarters level.

c. Preliminary evaluation panels use the [redacted] criteria in conjunction with the procedures and guidelines contained in OCHB-F 20.20.1. [redacted] consists of sixteen performance evaluation criteria and five comparative evaluation descriptors. Two lists are derived in the evaluation process. One list is called the Master List and is a rank order established on the basis of numerical score achieved in rating each individual against the sixteen criteria. The second list is called the Development List and is a list of the same persons arranged alphabetically by descriptor.

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continued...

d. Consolidated evaluation panels are convened to consolidate the preliminary lists into one Master List and Development List for each grade level and occupational specialty.

e. Promotions are made against available headroom and in order of rank from each Master List. Panel Chiefs may also promote from among the "Highest Potentials" on the Development List, but the majority of headroom is usually allocated to the Master List.

f. Personnel described as Limited Potential or Substandard are not eligible for promotion. Additionally, those rated Substandard are to be notified of this fact in writing and, moreover, they will be advised of contemplated career action or adverse action.

25X1 3. We trust that this information will be useful to you at the upcoming conference at [redacted] For further information or clarification, please call me or [redacted] of my staff.

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[redacted]

Attachments:

[redacted]  
OCHB-F 20.20.1

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MF COMPARATIVE EVALUATION SYSTEM

Outline

A. POLICY

1. Criteria Published in OFN 6-76
2. Annual Evaluations
3. Ranked by Grade Level
4. MF Career Subgroup Board - Ranks Grade 15  
Panels #1-7 - Ranks Grades 4 thru 14  
Panel #8 - Secretarial
5. Panel Membership Rotated
6. Substandard Notified by EO/OF

B. OBJECTIVES/PURPOSE

1. Comparative Evaluation & Ranking
2. Identification for Advancement/Career Development

C. PROCEDURES

1. Panels Provided with Work Tools Consisting of Comparative Evaluation Form, Biographic Profile, last two year's Fitness Reports
2. Each Panel Member Individually Evaluates each Person
3. Panels meet for two days [ ] to make Panel Rankings and Recommendations
4. Employee Ranked on Demonstrated Skills and Potential

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D. COMPARATIVE RANKING

1. Based on Growth Potential - Careerists are ranked into six (6) Groups by Grade Level:  
Highest Potential - Numerical Order  
May Develop High Potential - Alpha Order  
Valuable Contribution - May Develop - Alpha Order  
Valuable Contribution - Alpha Order  
Limited Potential - Numerical Order  
Substandard - Numerical Order
2. Approximately 1% of Subgroup is Identifiable at lowest level, and are advised of ranking by EO/OF.

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OJCS COMPETITIVE EVALUATION SYSTEM

OUTLINE

A. CAREER PANEL STRUCTURE

1. MZ BOARD - DD, DIV/STAFF CHIEFS, EXO/CDO, PER. OFF.
  - a. 5 DIV/STAFF PANELS - DC, BR CHIEFS, CDO
  - b. SENIOR PANEL - DD, SUPERGRADES, PER. OFF.

B. WHO IS RANKED?

1. PROFESSIONALS & TECHNICALS
  - a. DIV/STAFF PANELS - THRU GS-13 WITHIN PANEL
  - b. MZ BOARD - GS-08 THRU GS-13 OFFICE-WIDE
  - c. SENIOR PANEL - GS-14 & 15 OFFICE WIDE
2. CLERICALS - NO FORMAL RANKING PROCEDURE

C. HOW ARE RANKINGS USED?

1. PROMOTION CONSIDERATION
2. FILLING VACANCIES AND ROTATIONAL ASSIGNMENTS
3. TRAINING
4. COUNSELING

D. WHEN IS RANKING DONE?


1. ANNUALLY, FOLLOWING FITNESS REPORTS

E. EMPLOYEE FEEDBACK

1. EMPLOYEE MAY REQUEST HIS RANKING CATEGORY, i.e., HP, MD, etc., FROM PERSONNEL OFFICER OR DIVISION CHIEF.
2. THOSE RANKED IN LOWEST CATEGORY ARE NOTIFIED WITHIN 2 WEEKS UNLESS D/OJCS APPROVES OTHERWISE.

F. RANKING PROCEDURE

1. RANKING WORKSHEETS COMPLETED BY PANEL MEMBERS.
2. ORDINAL RANKING AND CATEGORIES REACHED BY PANEL CONSENSUS
3. PANEL RANKINGS FORWARDED TO MZ BOARD FOR OFFICE-WIDE RANKING

4. MZ BOARD MEMBERS PROVIDE ORDINAL RANKING TO BOARD SEC. 
5. TENTATIVE ORDINAL RANKING DERIVED BY AVERAGING
6. FINAL RANKING AND CATEGORIZATION REACHED BY CONSENSUS  
AT MZ BOARD MEETING
7. D/OJCS APPROVES FINAL RANKING AND CATEGORIZATION
8. WORKSHEETS AND PREVIOUS RANKINGS DESTROYED

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DDA

INSTRUCTION NO.  
LI 20-20

LI 20-20  
PERSONNEL  
Revised 12 March 1976

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SUBJECT: Logistics Career Subgroup Competitive Evaluation System

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1. POLICY

It is the policy of the Logistics Career Subgroup:

- a. That each Logistics careerist in grades GS-06 through GS-14 (includes Wage Board equivalents) will be competitively evaluated by grade by the Logistics Career Service Board (LCSB) or Panel responsible for his/her career development. Additionally, GS-05's and below (and Wage Board equivalents) who have been in the Agency 3 years or more will be ranked. (LI 20-18 defines current composition and areas of responsibility of the LCSB and Panels.)
- b. That competitive evaluations will be completed annually, or more frequently, at the direction of the Chairman, LCSB.
- c. That competitive evaluation criteria will be published and circulated to all Logistics careerists.

2. OBJECTIVES

The objectives of the Competitive Evaluation System are:

- a. To assure that each Logistics careerist is acquainted with the standards and criteria upon which he/she will be competitively evaluated.
- b. To identify qualified Logistics careerists for advancement and development and to provide relevant data to management for use in planning for progression and developmental training of these individuals.
- c. To allow counseling of Logistics careerists on their evaluation and to provide them pertinent information on their strengths and weaknesses.

3. EVALUATION PROCEDURES

a. Ranking Criteria

The LCSB and Panels will competitively evaluate, in accordance with paragraph 1a of this instruction, using the following criteria:

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INSTRUCTION NO.  
LI 20-20

LI 20-20  
PERSONNEL  
Revised 12 March 1976

- (A) Quality/Performance: The degree to which an individual completes assignments at a professional level with minimal supervision and within constraints of time, assets, information, etc.
- (B) Self-Expression (Written and/or Oral) (For GS-06 and Wage Board employees -- Communication)
- (C) Use of Sound Judgment
- (D) Effectiveness in Interpersonal Relationships
- (E) Creativity (For GS-06 and Wage Board employees -- Job Interest)
- (F) Willingness to Accept Responsibility
- (G) Leadership
- (H) Mobility: The availability and willingness to accept assignments-- intraoffice, domestic, or overseas--with full consideration given to previous relocation or hardship tours. (For GS-06 and Wage Board employees -- Versatility)
- (I) Experience/Versatility
- (J) Evidence of Self-Improvement
- (K) Potential

b. Time in Grade

While time in grade is a factor to be considered in competitive evaluation, it is neither the only nor necessarily the most significant factor in determining competitive rankings for promotion or other opportunities for advancement. Rather, it is one which, in the final analysis, is more properly weighed by Panel and Board members when the careerists being evaluated are otherwise relatively equal in qualifications, experience, performance, and potential.

c. Categories

In accordance with DD/A directives, the categories used to rank members of the Logistics Career Subgroup have been revised. The new categories,

INSTRUCTION NO.  
LI 20-20

LI 20-20  
PERSONNEL  
Revised 12 March 1976

listed below, replace those previously listed and are now in use throughout the Agency.

Highest Potential (HP): Employees whose experience, qualifications, and excellent performance in assignments and training indicate that they have the highest potential for advancement. Career actions should utilize and further develop this potential.

May Develop High Potential (MD): Employees whose qualifications and performance clearly are above average and who give indication that they later may demonstrate high potential for greater responsibility. Career actions (assignment, training, experience on the job) should enhance their skills and develop this potential.

Valuable Contribution (VC): Employees whose performance is good and who generally are realizing their potential. This category will include some employees who may be capable of performing at a higher level of responsibility and some who may not. Among those who may not are employees who are making a vital contribution to the functioning of their office (above average or satisfactory performance) and would continue to do so either in their present or a rotational assignment. Career management for employees in this grouping should provide sufficient opportunities for work satisfaction, improvement of skills, and personal growth at current levels of responsibility so that those who may have future potential have an opportunity to demonstrate it.

Limited Potential (LP): Employees whose overall performance is adequate but who have some characteristic affecting knowledge or performance such that their potential is judged to be limited. Their career planning and counseling should consider whether there are measures which reasonably can be taken to assist them in overcoming such deficiencies, whether their talents can be utilized better in some other function or office, or whether they should be encouraged to seek career opportunities elsewhere.

Substandard: Employees whose performance and potential are substandard in comparison with others of the same grade and occupational category. Requisite administrative actions may include, dependent on the procedures of the Career Subgroup, notification, counseling, training, and/or reassignment. Employees in this grouping are subject to downgrading or separation under the procedures specified by Agency regulations and the Career Subgroup.

INSTRUCTION NO.  
LI 20-20

LI 20-20  
PERSONNEL

Revised 12 March 1976

In a surplus situation, employees so evaluated would have low priority for retention.

It is the Office of Logistics (OL) policy to advise careerists of their category and relative ranking if they wish to have that information. Appointments can be made with a member of the Personnel and Training Staff, OL, Panel chairman or member, or division/staff chief for discussions re relative ranking.

STAT

MICHAEL J. MALANICK  
Director of Logistics

PROCEDURES USED IN OL FOR IDENTIFYING LOWEST 5%

- |    |   |  |
|----|---|--|
| 1. | Panel Rankings (at least once a year).  | Part of normal ranking exercise for all employees GS-06 through GS-13* |
| 2. | Review by Division and Staff Chiefs for comments only.                              | Part of normal ranking exercise for all employees GS-06 through GS-13* |
| 3. | Review by Logistics Career Service Board.   | Part of normal ranking exercise for all employees GS-06 through GS-13* |
| 4. | Special Panel reviews for lowest 5% and submits recommendations to D/L.             |  |
| 5. | D/L reviews and either D/L, DD/L or Division Chief advise each employee personally. |  |

\* GS-14's ranked by Logistics Career Service Board and GS-15's ranked by GS-16's and above.

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26 February 1976

MEMORANDUM FOR THE RECORD

SUBJECT: Minutes of the Initial DCI Meeting of the  
Director's EEO Advisory Panel and Members  
of the Office of EEO

PRESENT: DCI  
Mr. Omega Ware

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1. On 26 February the DCI held his initial meeting with the Director of EEO, EEO staff members and the Director's EEO Advisory Panel. The purpose of the meeting was the presentation and discussion of the DCI's policy and philosophy with regard to equal employment opportunity and affirmative action. Following are the major points arrived at during that meeting:

A. The DCI announced his total commitment to the letter and spirit of the laws and regulations governing equality of opportunity, affirmative action and fairness. He sees this policy to be important not only for moral and altruistic reasons but for reasons of effectiveness. This commitment also includes efforts in the areas of EEO which will aid in making the Agency a member in good standing of the federal and national community.

B. The DCI recognized his personal responsibility, under law, for the status and operation of EEO and Affirmative Action, and reaffirmed that when the D/EEO spoke for him in these areas, it was with his support and approval. The DCI regularized his meetings with the Director, EEO to assure the currency of his understanding of EEO-related matters and to assure his availability for support.

C. The DCI affirmed his commitment to assure the allocation of the resources necessary to accomplish Agency EEO and Affirmative Action goals.

D. The DCI confirmed the value of the EEO Advisory Panel. He stated his desire that it continue to identify problems and issues and advise the DCI and the D/EEO. The DCI was concerned that Panel members continue to be granted the time to perform their Panel-related duties and that Panel members not be penalized in any way for panel service.

E. The DCI stated his desire that supervisors and managers at all levels be evaluated on the basis of results in "Human Resource Management", i.e., EEO and Affirmative Action and indicated that this should be a factor in consideration of promotions to or within the managerial level.

F. The DCI confirmed his support of EEO-related personnel objectives including:

- The lateral entry of qualified minorities.
- The accelerated development and promotion of women and minorities whose skills, talents and potential have been passed over for an indefensible period. (Upward Mobility)
- The continued search and recruitment of entry level minority employees.

2. The DCI and the Panel also discussed the problems of women and minorities in the Agency as represented in Agency personnel statistics using the attached statistics prepared by the Panel.

Omego J. C. Ware, Jr.  
Director  
Equal Employment Opportunity

Autumn, 1975

### ➤ Briefs on Recent Court Actions

- The EEOC has asked the Supreme Court to review the decision of the Third Circuit Court of Appeals upholding seniority in layoffs in the case of Jersey Central Power & Light v. International Brotherhood of Electrical Workers.
- United Airlines, with 50,000 employees, is a defendant in one of the largest discrimination cases to go to trial so far. EEOC has charged the airline, the Air Line Pilots Association, and International Association of Machinists and Aerospace Workers with widespread and systematic discrimination against minorities and women. Example: Only 8 of the airline's 6,000 pilots are black.
- Virginia's 139 school systems must pay back salaries for the past six years to teachers forced to quit work because of pregnancy, a district court in Richmond has ruled.
- The Fifth Circuit Court of Appeals ruled that it was not sex discrimination for a newspaper to establish a hair-length rule for male employees when it didn't have such a rule for female employees. According to the court, the discrimination was based on grooming, not sex.

## SOLVING EEO PROBLEMS

### ➤ Guidelines on Avoiding Age Discrimination Charges

Despite the fact that age is rapidly becoming a most costly form of discrimination, many employers are still acting as if it couldn't really hurt them. These organizations are making themselves choice targets for age discrimination suits that will no doubt catch them completely by surprise.

How many of your own organization's managers know, for example, that age cannot play *any* part in a hiring, promotion, or termination decision? It doesn't matter that there are other factors involved—if age was even a minor factor, you could be successfully charged with age discrimination.

A lot of managers don't know this and other important facts about age discrimination. That's because in most EEO programs, age discrimination is usually relegated to the back burner. Chronologically, minority discrimination first took the spotlight—and other forms of discrimination were neglected. Then sex discrimination got the big play, when employers realized it could cost them plenty. Now, age discrimination is becoming heavy, but many employers are still too preoccupied with problems in minority and sex discrimination to pay much attention to it.

That's not the only reason for neglect, however. Here's another: It's been traditional in many organizations to periodically bring in "new blood"—and new blood is invariably young blood. An employer may see nothing wrong with this standard practice—the only trouble is that now you can get sued for it.

Standard Oil of California can attest to that. They did get sued—by a group of older managers who were terminated to make way for younger replacements. The suit ended up costing the company \$2 million.

The thing that Standard Oil—and perhaps many other companies—have failed to recognize is that white male employees have at last discovered a form of discrimination that they can call their own. Age discrimination is just about the only kind they can claim in great numbers.

It's understandable that they should be taking advantage of the Age Discrimination in Employment Act of 1967. They've been hearing a lot about equal employment opportunity, affirmative action, upward mobility for women and minorities. Now some of them are beginning to think, "Hey, I'm being discriminated against, too."

This is especially true of older managers. In fact, the white male manager in the protected 40-65 group has become the new EEO plaintiff. He'll be in court a lot more often. Through mid-1975, the Department of Labor, which enforces the Age Act, instituted 255 court actions under the statute, and conciliated job reinstatements or promotions for over 11,000 older workers. It seems certain that older managers will make increasing use of the Age Act to redress their grievances. They're more militant than they used to be. It's a matter of necessity—the economic situation plus their age makes it difficult for them to find other jobs if they are terminated because of their age.

So it's time to pay some attention to the age discrimination problem that may exist in your own organization. Here are some guidelines that could help:



EEO TODAY

- First step is to find out if you *have* age discrimination problems and where they are. Take hiring, for example. Remember that when you're selecting employees, age cannot play *any* part in your hiring decisions. (With only rare exceptions, usually involving safety considerations that justify age as a bona fide occupational qualification—such as the case Greyhound won on not hiring new bus drivers over 35.) So check your hiring records. If you find you hardly ever hire anyone over 40, you may be in trouble. It could mean you're screening out older applicants.

Of course, if you're wise, you don't ask applicants how old they are, but through general observation and a look at their work history you can usually figure out if they're over 40. So try to estimate what proportion of your older applicants you're hiring as against the hiring proportion of your younger applicants. If the first proportion is much smaller, it may mean that age is playing a part in your hiring decisions—and that's illegal.

Now let's say you do hire older applicants. The next question is: Where do you *place* them? If you systematically assign older hires to low-level, low-paying jobs with few chances for upward mobility, you're guilty of age discrimination and may be sued. True, an older employee may not *want* the opportunity to move ahead, but that's for the employee to decide, not you.

Next we come to promotion. Check up on your promotion patterns to find out if there's any age discrimination indicated. For each level in your organization, divide the employees into two groups: one between 40 and 65 and the other under 40. Is there a significantly lower ratio of promotions for the older group than for the younger? Then you'd better investigate further.

Check selections of employees for promotion against those that are considered. Among a group of employees being considered for promotion, is it almost always a younger one who gets the nod? That indicates discrimination. Or go back farther in the promotion process. Analyze a list of employees who have been *considered* for promotion over the past six months. Are almost all of them in the under-40 group? If so, it's another sign of age discrimination.

Now take a look at your termination records. Measure the ratio of employees terminated in the 40-65 group against those in the under-40 group. A significantly higher ratio of terminations in the older group indicates age discrimination.

Now these facts you've discovered represent *circumstantial* evidence of age discrimination. They may not be enough to convict you if you're charged, but they do create enough of a case to throw the burden of proof on you. In other words, you'll have to prove that age was *not* a factor in these various types of employment decisions.

- Once you've established that you do have an age discrimination problem, you'd better move on it. One way to protect yourself in the hiring area, as we've pointed out, is to eliminate the date of birth question on your employment application form. That's really post-employment information, anyway—you only need it for benefit and pension purposes. But if you *do* have this question on your blank, just make sure it is followed with the statement, "The Age Discrimination in Employment Act of 1967 prohibits discrimination on the basis of age with respect to individuals who are at least 40 but less than 65 years of age."

Watch your employment advertising, too. That's a vulnerable area, because age-related advertising can serve as circumstantial evidence in cases involving apparently unrelated issues such as discharge. So make sure your recruiting ads don't use phrases like "Age 25-35," "young," "boy," or "girl." These phrases are forbidden by the Labor Department.

- Everyone in the organization who is involved in making any kind of personnel decisions must be made fully aware of the Age Act and what it forbids. Remember, most age discrimination is inadvertent—it is based on long-established attitudes that unconsciously operate to the disadvantage of older applicants and employees. So it's important to make age discrimination a *conscious* issue in the minds of those responsible for personnel decisions in your organization. Let them know the risks of letting age enter into any of those decisions.

You might try awareness sessions—the same kind you may have on the subjects of sex and minority discrimination. Lay heavy emphasis on the high costs of age discrimination to the organization. Point out that all personnel decisions must be based on the qualifications of the individual employee and not on general characteristics such as age. And make it very clear that age cannot even be a *subsidiary* factor in a personnel decision. For example, managers must know that they can't terminate an employee on the basis of poor performance. Approved For Release 2008/12/17 : CIA-RDP81-00261R000200070013-3

Autumn, 1975

The documentation angle is an important one. Let's say you have an older employee who has been getting good appraisals for years but whose work begins to fall off. His supervisor counsels him, but there's no improvement. His supervisor then gives him a warning—there's still no improvement. Termination follows. So does a charge of age discrimination. And the employee wins—he is able to present his good appraisals, while the supervisor has no record to show that he counseled and warned the employee.

So make sure that when an employee's work is unsatisfactory, the supervisor both discusses it with the employee *and* keeps records to prove it.

- Take steps to ensure that age does not enter into *promotion* decisions. One of those steps might be to require any promotion decision to have several levels of management approval.

Also, the personnel department should keep close tabs on what happens to employees in the 40-65 age group. Too many managers unconsciously select a younger candidate when making promotions—or they don't even consider older employees as candidates. This discrimination may be inadvertent—but it's still discrimination.

It is up to the personnel staff, then, to make sure that *every* employee, regardless of age, is given due consideration for promotion. And when an older employee is denied a promotion, zero in on the reasons. Require the promoting manager to explain in writing why the promotion went to a younger employee. It's important that an organization be able to substantiate its promotion decisions on the basis of objective criteria.

- Pay careful attention to termination decisions. Here's where the majority of age discrimination suits are filed. Just as organizations tend to think of younger employees when they're promoting, they tend to think of older employees when they're terminating. It's known as "getting rid of the deadwood." The older employees have fewer years to contribute to the organization, so they're likely to go first.

It can be a costly policy to follow. If you discharge 50 employees and most of them are in the older age bracket, you'd better be able to prove that age played no factor. And most companies couldn't prove it. These employees have been getting good appraisals for years and all of a sudden they're unsatisfactory. It's not convincing in court.

Here's a situation where organizations trap themselves by permitting unrealistic performance appraisals. Those favorable appraisals may not have been justified, but there they are—and they make it difficult to remove an unsatisfactory employee without being successfully charged with age discrimination.

So one important step is to revamp unrealistic evaluation procedures. Make sure that appraisals reflect actual performance. Then you will have convincing documentation in the event that you want to discharge an unsatisfactory employee. Remember, there's no law against discharge for good cause—but you may have to prove in court that it *was* good cause.

Some companies find that it pays to put limits on managerial discretion to fire older employees. In one company, for example, an employee whose years of age and service total at least 60 cannot be terminated without all the facts being reviewed at the corporate level. One advantage of this review procedure is that it creates an internal grievance recourse for the employee before the ultimate step of filing charges. Such review can also widen the focus to include the possibilities of alternative job opportunities for the older employee.

*Based in part on a forthcoming article by William Kandel in Volume 1, Issue 3 of The Employee Relations Law Journal.*

## ➤ How to Get Ready for a Final Ruling on Pregnancy Benefits

Sometime within the next 12 months the Supreme Court will probably hand down a definitive ruling on the thorny question of disability benefits for pregnancy and childbirth. The high court has agreed to review the Appeals Court decision in the case of *Wetzel v. Liberty Mutual*, and General Electric, after having lost an appeal in a similar case (see page 5), has asked that its case be joined with *Liberty Mutual's* for Supreme Court review. (GE believes it has a stronger case on this issue than does *Liberty Mutual*.)

While waiting for this momentous ruling, what can an employer do to get ready for it?

Quite a bit, according to the EEO manager for one large white-collar firm. "Nobody can predict how the Supreme Court will decide this issue," she says. "But the fact that two Appeals Courts have already supported the EEOC guidelines slants the odds in favor of a similar Supreme Court decision."



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Administrative—Internal Use Only

Management by Objectives  
in the  
Directorate of Administration

1 March 1976

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Management by Objectives  
in the  
Directorate of Administration

I. BACKGROUND

Few, if any, management concepts have received more attention and caused as much confusion in recent years as management by objectives (MBO). What has caused the confusion? A key element may be the inability of managers, particularly in the government, to relate the academician's theories with MBO implementation in their office. The end result is many managers conclude that it is not possible to beneficially use such a management tool.

There is, however, reasonable evidence that MBO is an approach to managing that can work, even in government, if it is applied with organizational realities in mind. MBO basically is a results-oriented philosophy of management which encourages participation, which forces and aids in planning, and assists in the problem identification and resolution process. Ambiguity about key task accomplishment is reduced and two-way line manager-to line manager communication is improved.

There is no one model for an MBO system! This is particularly true in the public sector where goals, organizational structure, and economic rewards are generally defined by law or regulation. The federal budget system is complex and demands its particular set of program documents and reports.

## II. THE DD/A PROCESS

The Management by Objectives program in the Directorate of Administration identifies and tracks the achievement of selected DCI, Directorate and Office goals. These goals generally fall into one or more of three categories: innovative, problem solving, or uniquely important. Routine, on-going activities (which may, however, constitute a large and important part of an Office's mission) are addressed by top management only as needed on an "exception" basis, thus allowing attention to be focused where it is most needed.

In the Agency, policy guidance is afforded the Directorates in several ways: the annual DCI Fiscal Guidance Letter, the Key Intelligence Questions, and the USIB Fiscal Year Intelligence Community Objectives. The DD/A Offices' missions are defined by regulation and it is within the framework of both these regulatory missions and other policy guidance that Offices are tasked to examine opportunities for identifying specific objectives. The Directorate's innovative and problem-solving objectives usually have their genesis in the Offices while the uniquely important objectives principally stem from specific DCI or DD/A direction, or constitute an integral part of the Office's mission.

Again, as in most other parts of the public sector, the DD/A program is basically conducted on a fiscal year basis. The building of the annual Directorate MBO program begins in April when Offices are tasked to develop draft objectives for the following fiscal year. After the objectives have been committed to paper in a brief summary form, initial reviews take place between the Office Plans Staff and the DD/A Plans Staff to see if any problems with the objectives' development can be identified. From this review, an attempt is made to insure that the focus of the Office's objectives is narrowed to the specific programs and goals which are consistent

with the overall mission of the Agency, Directorate and Office.

After these preliminary steps are taken and agreement is reached, the objectives are discussed mutually by the DD/A, the A-DD/A, the Office Director, and appropriate staff members. From this discussion comes the finalized objectives for the next fiscal year. The DCI and the Directorate level objectives are then sent to the DCI for his review, discussion, and approval.

When the DCI approval is received, the Office Director and his appropriate Office elements then complete preparation of action plans, allocate resources, and before the new fiscal year, start the implementation process. Those objectives impacting on other Directorates are passed to the Deputy Director concerned.

The review process in the DD/A centers on bi-monthly management conferences attended by the DD/A, the A-DD/A, Office Directors, an Office of the Comptroller representative, and the Office and DD/A Plans Staffs. These conferences enable the Office Director and the DD/A:

- a. to review regularly the progress of the Office toward achievement of its objectives;
- b. to determine whether the established objectives continue to be a high priority;
- c. to identify areas where corrective action is or will be necessary to meet a milestone, to achieve an objective, or amend the objective;
- d. to assign specific responsibility for carrying out the corrective action when necessary;

e. to discuss in a non-crisis atmosphere all related areas of management concern as well as provide a forum for continuing professional communication.

For example, discussion might center on the need for reallocation of manpower or dollar resources, reordering of priorities within the Office, program budget execution to date, etc. These bi-monthly management conferences provide yet another means for discussion of management-related items among the DD/A and his Office Directors.

The DD/A MBO system requires that prior to each Office's first bi-monthly management conference of the year, action plans showing milestones and personnel and dollar resource allocations for each objective be sent to the DD/A Plans Staff. Eight working days before each subsequent management conference, the Office Directors submit updated action plans on all objectives to the DD/A Plans Staff. The transmittal memorandum accompanying the action plans indicates why the achievement of an objective may be ahead of or behind schedule. If a milestone has not been completed as scheduled, the reason for the shortfall is stated briefly and a new date set. The DD/A Plans Staff is responsible for reviewing the action plans and for preparing a management conference agenda which summarizes the reason for shortfall or progress beyond planned performance. The agenda may include questions related to the status of each objective. During the conference, items related to or peripheral to the objectives may be raised and assigned to a specific officer as an action item. After each conference, the DD/A Plans Staff furnishes a report on the conference to the DD/A and the participating Office Director.

Significant substantive revisions or modifications of objectives or action plans are raised for discussion during management conferences, or are discussed with the DD/A or the DD/A Plans Staff if a conference is not imminent. Office Directors



may revise objectives or milestones without contacting the DD/A if there is no change in the substance of the objective, or if it is necessary to add more specific milestones without changing the overall timing.

Budgetary changes, new legislation, and new Office of Management and Budget or Agency initiatives will occasionally require modification of objectives. In such cases, Office Directors describe their new objective to the DD/A at a management conference. The DD/A and the Office Director will determine whether or not the subject is to be added to the list of objectives for that Office, or substituted for an existing objective. From time to time, it may be necessary to revise or drop an objective. These proposals are also raised at the management conferences.

Annual MBO performance evaluations are required of each Office at the end of the fiscal year. If an objective was not completed, the evaluation should include a brief statement as to why and the prognosis for its completion, including whether or not it is to be carried as an objective in the next fiscal year. Insofar as possible, the evaluations should express customer opinion of the service or product connected with each objective.

THE DIRECTORATE OF ADMINISTRATION

MANAGEMENT BY OBJECTIVES

+ BASIC MBO

+ SELECTIVE VS. TOTAL

+ PUBLIC/PRIVATE SECTOR

+ DD/A SYSTEM

WHAT IS MBO?

- A PHILOSOPHY, A POLICY, AND A  
SYSTEM OF MANAGEMENT
- FORWARD LOOKING INSTEAD OF  
REACTIVE
- PARTICIPATORY
- DECEPTIVELY SIMPLE

WHY MBO?

- + FORCES AND AIDS IN PLANNING
- + FOSTERS IMPROVED TWO-WAY COMMUNICATIONS
- + IDENTIFIES PROBLEMS BETTER
- + HOPEFULLY GREATER ACHIEVEMENT
- + REDUCES AMBIGUITY ABOUT KEY TASK ACCOMPLISHMENT

DEFINITIONS

GOALS

- DESIRED FUTURE CONDITION

OBJECTIVE

- SPECIFIC RESULT OR SERVICE
- TIME SENSITIVE
- NARROWED FOCUS
- SPECIFIC AND QUANTITATIVE

#### 4 KEY ELEMENTS IN THE MBO PROCESS

-- GOAL DEFINITION AND OBJECTIVE  
SETTING

-- ACTION PLANNING

- + WHAT, WHO, WHEN, WHERE  
AND HOW MUCH

-- IMPLEMENTATION AND SELF-CONTROL

- + PARTICIPATION
- + FEEDBACK
- + CORRECTIVE ACTION

-- REVIEWS AND APPRAISALS

- + ASSESS PROGRESS AND PERFORMANCE
- + IDENTIFY/REMOVE PROBLEM AREAS

GOOD OBJECTIVES ARE:

- SPECIFIC
- TIME BOUNDED
- CONDITION OR CONSTRAINT LIMITED
- MEASURABLE, VERIFIABLE
- CONSISTENT
- ATTAINABLE
- CHALLENGING

ACTION PLANNING

-- REQUIRED SUPPORTING ACTIONS  
DEFINED

-- RESPONSIBILITY FOR ACTIONS  
ASSIGNED

-- MILESTONES DEVELOPED

-- RESOURCES IDENTIFIED



REVIEW AND APPRAISAL

-- PERIODIC PROGRESS REVIEWS

- + HOW'S IT GOING?
- + TARGET TIMES REALISTIC?
- + PROBLEMS?
- + RESOLUTIONS?
- + RESOURCES ADEQUATE?
- + NEW OBJECTIVES NEEDED?

-- FINAL APPRAISAL

SELECTIVE VS. TOTAL MBO

CHARACTERISTICS	SELECTIVE	TOTAL
OBJECTIVES	SELECTED ACTIVITIES ONLY	ALL ACTIVITIES
ACTION PLAN	SELECTED OBJECTIVES ONLY	ALL ACTIVITIES
CONTROL	LIMITED	ALL ACTIVITIES
BUDGET	SEPARATE FROM MBO SYSTEM	WITHIN MBO PROCESS
FINANCIAL REPORTING	SEPARATE FROM MBO SYSTEM	WITHIN MBO PROCESS
PERSONNEL PERFORMANCE EVALUATION	SEPARATE FROM MBO SYSTEM	MBO EVALUATIONS

SELECTIVE MBO

PROS

GREATER CHANCE OF SUCCESS

-- NO TOTAL ORGANIZATION  
REDESIGN

-- CAN BE IMPLEMENTED  
LOCALLY

-- CAN BE IMPLEMENTED  
FLEXIBLY

-- IS EASILY UNDERSTOOD

FOCUSES MANAGEMENT ATTENTION

CONS

ADD-ON SYSTEM

DUPLICATION IN REPORTING

STAFF DOES BUDGET AND  
FINANCIAL REPORTING

TOTAL MBO

PROS

REPLACES FORMER SYSTEMS

DUPLICATE REPORTING  
ELIMINATED

LINE DOES ALL REPORTING

CONS

DUBIOUS DO-ABILITY

-- IMPLEMENTATION  
SUCCESS DOUBTFUL

-- ALL COMPONENTS MUST  
IMPLEMENT

SPREADS MANAGERIAL  
ATTENTION

PUBLIC SECTOR MBO PROBLEMS

-- GOAL DEFINITION

- + GOALS DEFINED BY STATUTE
- + ORGANIZATIONAL STRUCTURE
- + ECONOMIC REWARDS

-- RESULTS ANALYSIS

- + PRIVATE SECTOR PROFITABILITY

-- OTHER

- + COMPLEX FEDERAL BUDGET PROCESS
- + CONGRESS
- + TOP LEVEL TURN-OVER
- + TODAY'S POLITICAL SETTING VERSUS  
TOMORROW'S